

DISTRICT OF COLUMBIA COURT SYSTEM

Overview

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
260	40,699,000	262	41,643,000	296	57,175,000	34	15,532,000

Introduction

The District of Columbia Court Reform and Criminal Procedure Act of 1970 created a unified court system. The Act assigns responsibility for the administrative management of the District of Columbia Courts to the Executive Officer, who oversees eight Court divisions. They include: 1) Administrative Services; 2) Budget and Finance; 3) Center for Education and Training; 4) Court Reporting and Recording; 5) General Counsel 6) Human Resources; 7) Information Technology; and 8) Research and Development.

FY 2007 Request

The D.C. Courts' mission is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly and effectively in the Nation's Capital. To perform the mission and realize their vision of a court that is open to all, trusted by all, and provides justice for all, the Courts have identified 5 strategic issues, which comprise the centers of our strategic goals:

- **Strategic Issue 1:** Enhancing the administration of justice;
- **Strategic Issue 2:** Broadening access to justice and service to the public;
- **Strategic Issue 3:** Promoting competence, professionalism and civility;
- **Strategic Issue 4:** Improving Court facilities and technology; and
- **Strategic Issue 5:** Building trust and confidence.

The Court System has aligned its FY 2007 request around these five issues.

In FY 2007, the D.C. Courts' request for the Court System is \$57,175,000 and 302 FTEs, an increase of \$15,532,000 (37%) and 34 FTEs above the FY 2006 Enacted level. The request includes increases to support the following Court goals:

Strategic Issue 1: Enhancing the administration of justice -- \$1,843,000 and 8 FTEs

The FY 2007 Court System request includes \$1,843,000 and 8 FTEs to address the Courts' strategic issue of enhancing the administration of justice, including \$783,000 and 1 FTE to enhance materiel management; \$645,000 and 2 FTEs for an initiative to enhance continuous strategic planning, management, and performance measurement; and \$415,000 and 5 FTEs to enhance financial management and budgeting in the Courts.

Strategic Issue 2: Broadening access to justice and service to the public -- \$1,724,000 and 10 FTEs

The FY 2007 request includes \$1,724,000 and 10 FTEs to address the Courts' strategic issue of broadening access to justice and service to the public through an initiative to assist self-represented litigants.

Strategic Issue 3: Promoting competence, professionalism and civility -\$1,087,000

The FY 2007 request includes \$1,087,000 in the Court System to address the Courts' strategic issue of promoting competence, professionalism, and civility, including \$800,000 for initiatives to invest in the Courts' personnel, including succession planning and tuition assistance; \$140,000 for leadership and management institutes; \$135,000 to enhance the professional development of Court of Appeals and Superior Court personnel; and \$12,000 for specialized training for the Office of the General Counsel.

Strategic Issue 4: Improving Court facilities and technology -- \$8,993,000 and 12 FTEs

The FY 2007 request includes \$8,993,000 and 12 FTEs to address the Courts' strategic issue of improving Court facilities and technology, including \$6,240,000 to enhance courthouse security; \$2,308,000 to support the Integrated Justice Information System (IJIS), including 6 FTEs; and \$445,000 for 6 FTEs to provide round-the-clock engineering support.

Strategic Issue 5: Building trust and confidence -- \$294,000 and 4 FTEs

The FY 2007 Court System request includes \$294,000 and 4 FTEs to address the Courts' strategic issue of building trust and confidence, including \$237,000 and 3 FTEs to establish an internal audit team to conduct both financial and programmatic audits and \$57,000 and 1 FTE to increase public understanding of the courts.

DISTRICT OF COLUMBIA COURT SYSTEM
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Personnel Compensation	17,533,000	18,465,000	21,453,000	2,998,000
12 - Personnel Benefits	4,535,000	4,546,000	5,279,000	733,000
Sub-total Personnel Cost	<i>22,068,000</i>	<i>23,011,000</i>	<i>26,732,000</i>	<i>3,721,000</i>
21 - Travel, Transp. Of Persons	353,000	357,000	500,000	143,000
22 - Transportation of Things	1,000	1,000	1,000	0
23 - Rent, Commun. & Utilities	6,625,000	6,457,000	7,189,000	732,000
24 - Printing & Reproduction	70,000	71,000	147,000	76,000
25 - Other Services	10,587,000	10,736,000	20,843,000	10,107,000
26 - Supplies & Materials	431,000	438,000	478,000	40,000
31 - Equipment	564,000	572,000	1,285,000	713,000
Sub-total Non Personnel Cost	<i>18,631,000</i>	<i>18,632,000</i>	<i>30,443,000</i>	<i>11,811,000</i>
TOTAL	40,699,000	41,643,000	57,175,000	15,532,000
FTE	268	268	302	34

**DISTRICT OF COLUMBIA COURT SYSTEM
EXECUTIVE OFFICE**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
13	1,366,000	13	1,406,000	29	4,119,000	16	2,713,000

The Executive Office is responsible for the administration and management of the District of Columbia Courts, including the District of Columbia Court of Appeals and the Superior Court of the District of Columbia. The Executive Officer supervises all Court System divisions that provide support to the two courts: Administrative Services; Budget and Finance; Center for Education and Training; Court Reporting and Recording; Human Resources; Information Technology; Office of the General Counsel and Research and Development.

FY 2007 Request

In FY 2007, the Courts request \$4,119,000 for the Executive Office, an increase of \$2,713,000 above the FY 2006 Enacted level. The requested increase consists of \$237,000 and 3 FTEs for an internal audit team, \$57,000 and 1 FTE for a Community Outreach Coordinator, and \$50,000 for built-in costs. In addition, as detailed in the Initiatives section of this budget submission, \$645,000 is requested for the Strategic Planning and Management initiative and \$1,724,000 is requested to establish a Self-Representation Service Center.

Internal Audit Team, \$237,000
1 Senior Auditor (JS-13/14), \$98,000
2 Auditors (JS-11/12), \$139,000

Problem Statement. To ensure that public resources are used appropriately and as intended, and that operational or program goals are met, the D.C. Courts seek to implement an internal audit function. All public agencies are responsible and accountable for their operations and the effectiveness of management controls, and their performance in meeting these expectations should be continuously monitored and assessed. Internal audits can assist in this responsibility by ascertaining conformance with laws and regulations and accounting principles and standards; assessing the adequacy of policies, procedures and internal controls; evaluating the validity and timeliness of financial information and reports; and detecting any instances of fraud, waste, and mismanagement in programs and operations. Without a mechanism to periodically monitor the economy, efficiency, and effectiveness of operations and the achievement of program objectives, the risk that limited resources are misused or that program goals go unmet is significantly increased. The Courts do not have staff with the requisite skills or expertise to perform this program and financial audit function on an enterprise-wide basis.

Relationship to Court Mission and Goals. This initiative supports the D.C. Courts' goal of building trust and confidence in the justice system by being accountable to the public. In particular, issuing internal audit reports would support the Courts' Strategy 5.2.2 by establishing a process that measures organizational performance.

Relationship to Divisional Objectives. The internal audit function supports the Courts' objectives of promoting continuous improvement in the financial structures, processes, programs and performance of the D.C. Courts, and providing timely and reliable financial and programmatic management information and counsel to D.C. Courts' officials for making court-wide and programmatic decisions.

Proposed Solutions. The D.C. Courts plan to hire one senior auditor and two auditors to conduct financial and performance audits and investigations. The audits and investigations would be based on statutory and regulatory requirements and requests from Congress, the general public, and D.C. Courts officials.

Methodology. D.C. Official Code 11-1701(b)(2) and 1703 assign responsibility for matters relating to auditing to the Joint Committee and the Executive Officer, respectively. In addition, the need for an internal auditing capability is based on Federal legislation and regulations, such as the Inspector Generals Act and Office of Management and Budget Circular A-123 "Management Accountability and Control", which recognize the need for the performance of independent, objective, and timely reviews as a key component of assessing the adequacy of management/internal controls in programs and operations.

Expenditure Plan. The recruitment and selection process will be conducted in accordance with the D.C. Courts' personnel policies.

Performance Indicators. The D.C. Courts will measure performance by the percentage of recommendations accepted and implemented by management officials, and enhanced effectiveness and efficiency of program operations.

Community Outreach Coordinator (JS-9/10, \$57,000)

Problem Statement. To promote trust and confidence in the administration of justice in the nation's capital, the D.C. Courts seek to increase public understanding of the role and function of the courts, as well as to enhance judicial awareness of community problems and concerns. A Community Outreach Coordinator position is requested to assist in the development of a comprehensive Community Education and Outreach Program. Such a program would be designed to inform the community about court operations and the role of the judicial branch, increase the public's understanding of court processes and services (such as the Crime Victims Compensation Program and the importance of jury duty), include an outreach effort in the public schools to provide an educational and mentoring opportunity for judges, and to reinforce or enhance the concept of civic duty and responsibility. The Outreach Coordinator would also support the work of the Courts'

Standing Committee on Fairness and Access, which conducts outreach activities to solicit community input on enhancing fairness and access to the Courts.

Relationship to Court Mission and Goals. This request supports the Courts' Strategic Goal 5.1 that the Court will inform the community about its operations and the role of the judicial branch.

Relationship to Divisional Objectives. The addition of an outreach coordinator would support the Executive Office's objective of building trust and confidence in the Courts by promoting a greater understanding of court services and processes.

Proposed Solution. The proposed solution is to increase the Executive Office by one FTE, who will be dedicated to outreach activities.

Methodology. The grade level and salary for the requested FTE was classified pursuant to the D.C. Courts' Personnel Policies.

Expenditure Plan. The position will be recruited and hired pursuant to the D.C. Courts' Personnel Policies.

Performance Indicators. Performance of the new FTE will be measured by the number of outreach activities, the number of persons reached, and an increase in knowledge about the role of the court and court operations.

Table 1
EXECUTIVE OFFICE
New Positions Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Management Analysts	JS-13	2	158,000	38,000	196,000
Project Director	JS-14	1	94,000	23,000	117,000
Attorneys	JS-12	2	134,000	32,000	166,000
Paralegals	JS-8	7	292,000	70,000	362,000
Senior Auditor	JS-13	1	79,000	19,000	98,000
Auditors	JS-11	2	112,000	27,000	139,000
Community Outreach Coordinator	JS-9	1	46,000	11,000	57,000
Total		16	\$978,000	\$235,000	\$1,135,000

Table 2
EXECUTIVE OFFICE
Budget Authority by Object class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Personnel Compensation	1,079,000	1,129,000	2,089,000	960,000
12 - Personnel Benefits	263,000	271,000	503,000	232,000
Sub-total Personnel Cost	<i>1,360,000</i>	<i>1,400,000</i>	<i>2,592,000</i>	<i>1,192,000</i>
21 - Travel, Transp. of Persons	0	0	35,000	35,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	0	0	73,000	73,000
25 - Other Services	0	0	858,000	858,000
26 - Supplies & Materials	4,000	4,000	4,000	0
31 - Equipment	2,000	2,000	584,000	582,000
Sub-total Non Personnel Cost	<i>6,000</i>	<i>6,000</i>	<i>1,554,000</i>	<i>1,548,000</i>
TOTAL	1,366,000	1,406,000	4,146,000	2,740,000
FTE	13	13	29	16

Table 3
EXECUTIVE OFFICE
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	13	3,000	
	Current Positions COLA	13	37,000	
	Management Analysts	2	158,000	
	Project Director	1	90,000	
	Attorneys	2	130,000	
	Paralegals	7	284,000	
	Senior Auditor	1	79,000	
	Auditors	2	112,000	
	Outreach Coordinator	1	46,000	
Subtotal				939,000
12 - Benefits	Current Positions WIG	13	1,000	
	Current Positions COLA	13	9,000	
	Management Analysts	2	38,000	
	Project Director	1	22,000	
	Attorneys	2	31,000	
	Paralegals	7	68,000	
	Senior Auditor	1	19,000	
	Auditors	2	27,000	
	Outreach Coordinator	1	11,000	
Subtotal				226,000
21 - Travel and Transportation	Self-Rep. Svc. Ctr - Travel/Training		20,000	
	Strategic Pln. & Mgt – Travel/Training		15,000	
Subtotal				35,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Self-Rep. Svc. Ctr - Info Packets			73,000
25 - Other Services	Self-Rep. Svc. Ctr – Space		287,000	
	Self-Rep. Svc. Ctr - Consulting Svc.		494,000	
	Strategic Pln. & Mgt- Contractual Services		77,500	
Subtotal				858,000
26 - Supplies and Materials				
31 - Equipment	Self-Rep. Svc. Ctr - Equipment		225,000	
	Strategic Pln. & Mgt--Perf Meas Software		357,000	
Subtotal				582,000
Total				2,713,000

Table 4
DISTRICT OF COLUMBIA COURTS
EXECUTIVE OFFICE
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6	1	1	1
JS-7	1	1	1
JS-8			7
JS-9	1	1	2
JS-10	2	2	2
JS-11			2
JS-12	1	1	4
JS-13	1	1	3
JS-14	3	3	4
JS-15	1	1	1
JS-16			
CES	1	1	1
Ungraded	1	1	1
Total Salary	1,360,000	1,400,000	2,592,000
Total	13	13	29

**DISTRICT OF COLUMBIA COURT SYSTEM
ADMINISTRATIVE SERVICES DIVISION**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
64	7,623,000	64	8,067,000	71	9,642,000	7	1,575,000

The Administrative Services Division consists of the Office of the Administrative Officer and three branches.

- The Information & Telecommunications Branch is responsible for providing telecommunications services; information services regarding daily Court proceedings; Court directory services; mailroom operations and records management services.
- The Building Operations Branch is responsible for design, engineering and construction services; capital projects; building security access and ID badging; Court owned as well as leased space management; lease management; facilities management; fleet management; building maintenance and repair; grounds care; custodial services; cable installations; supply room operations; furniture and furnishings inventory; property disposal; receipt of delivery orders; special occasion room/function set-ups; staff relocation services; Help-Desk operations; campus parking enforcement; and Lost and Found services.
- The Procurement and Contracts Branch is responsible for small purchases and major contract acquisitions; reproduction and graphics services; and SMART card operations.

Workload Data

In FY 2007, the Administrative Services Division expects to manage janitorial and cleaning services for the Courts' 872,663 sq. ft. of net floor area in a cost-effective manner, at \$5.65/sq. ft.

The facilities maintenance, repair, and operations (MRO) costs for the entire D.C. Courts' complex in FY 2007 are projected at \$10.60/sq. ft., which is comparable to industry standards (International Facility Management Association) of \$10.35 per square foot for MRO costs.

The mailroom expects to process fewer outgoing checks than the 370,000 checks projected in FY 06 because the child support function previously handled by the Courts has been transferred to the executive branch of the District of Columbia government. However, the mailroom expects to process approximately 50,000 juror checks in FY 07, 245,000 subpoenas, and 325,000 jury summonses.

Due to the widespread use of the Government Purchase Card, the Procurement Branch expects that the number of procurement and work order requests will decrease from 4,000 in FY 06 to 3,000 in FY 07.

The records management area expects to fill over 40,000 record center requests to supply official court records and to process over 12,000 cases of records and files for storage or disposal.

Finally, the Information Center expects to respond to over 400,000 calls and personal inquiries during FY'07.

Table 1
ADMINISTRATIVE SERVICES DIVISION
Performance Measurement Table

Performance Indicator	Data Source	Estimate FY 2004	Projection FY 2005	Projection FY 2006	Projection FY 2007
Help-Desk Number of Help Desk Calls Received	Office Records	6,000	14,400	14,500	15,000
Facilities Maintenance Number of Hours to Close Help Desk Service Calls % of Court Personnel Satisfied	Survey and customer feedback form	24 hours 85%	24 hours 85%	36 hours 85%	36 hours 85%
Telecommunications Records Center requests for court records filled Records for Storage or Disposal (cases) Jury and Child Support Checks processed by mailroom Jury Checks processed by mailroom Jury Summons processed by mailroom Telecommunications additions, moves and changes % of Internal Customers Satisfied	Survey and customer feedback form	25,000 10,000 360,619 n/a 353,199 n/a 95%	30,000 10,550 134,648 n/a 300,000 95%	30,000 11,000 n/a 95,000 330,000 25,000 95%	40,000 12,000 n/a 105,000 360,000 25,000 95%
Procurement Number of Requisitions Processed % of Internal Customers Satisfied	Survey and customer feedback form	4,000 95%	4,500 95%	4,000 95%	3,000 95%

FY 2007 Request

The Courts' FY 2007 request for the Administrative Services Division is \$9,642,000, an increase of \$ 1,575,000 or 20% above the FY 2006 Enacted level. The requested increase consists of \$783,000 and one FTE to enhance materiel management; \$445,000 and 6 FTE's to provide round-the-clock engineering support for the Courts' facilities; and \$417,000 for built-in cost increases. The request includes:

FTE Request: 6 Engineer/ Mechanics (JS-9), \$ 445,000

Problem Statement. The D.C. Courts' facilities consist of the Moultrie Courthouse, four other court buildings at Judiciary Square (Buildings A, B, C, and the Old Courthouse), leased space for administrative support at Gallery Place and a number of field offices for probation services, totaling over one million gross square feet. Several court facilities are open 24 hours a day, 7 days a week. Today the Courts only have 12 staff for facilities management. No staff members are available on-site to handle emergencies which arise on weekends or after 4 p.m. on weekdays. These individuals routinely work overtime on emergency duty, and maintain a complicated "stand by" schedule. Although the on-call response time is within 30-minutes, extensive damage can be caused by systems failures without immediate attention. Of special concern are the Courts' computer systems which are especially vulnerable to HVAC failures, and upon which the District's criminal justice system and the entire D.C. Courts are dependent.

The Moultrie Courthouse is open round-the-clock to provide arraignments and required hearings, to permit litigants and attorneys to file cases, and to accommodate the public. Currently, Court operations are interrupted and the Courts routinely incur additional costs for emergency facility repairs and routine maintenance requirements because current staffing is insufficient to provide engineering support. The need for more engineering staff is particularly critical as judicial and division operations of the Courts are reassigned to different facilities. The addition of the requested FTEs will provide 24-hour coverage for all Court buildings.

Relationship to the Courts' Strategic Plan:

Strategic Issue 4: Improving Court facilities and technology

By improving the maintenance of court facilities, the additional FTEs would support Strategic Goal 4.1 "The Courts will provide personnel and court participants with a safe, secure, and habitable physical environment."

The additional FTEs would permit engineering coverage of Court buildings during the evenings and on weekends, and thereby, reduce Court interruptions due to building system failures

Methodology. The additional engineering/mechanical staff is based on International Facilities Management Recommendation for facilities of comparable size (IFMA – Operational and maintenance benchmarks, c. 2001 IFMA Research Report #21) and is supported by a workload study conducted by the consulting firm of Booz-Allen-Hamilton.

Expenditure Plan. The additional engineers would be required to possess a District of Columbia Class 6 Steam License and would be recruited and hired according to Court personnel policies.

Performance Indicators. The additional FTEs would reduce Court interruptions due to building system failures. The additional FTEs would also reduce the need for on-call differential pay for building engineers. Overall savings from reduced differential pay is estimated to be approximately \$40,000 per year. The additional FTEs will also reduce the need for certain outside electrical and mechanical blanket purchases by the Courts. Total savings from this action are estimated to be over \$100,000 per year.

FTE Request: Materiel Management Specialist (JS-11), \$90,000

Problem Statement. The Division is seeking to improve the control and management of fixed, controllable, and sensitive assets. Currently a number of staff members have been given some responsibility for receipt, storage, and security of procured items, but also are expected to carry out their primary job duties. As a result, accountability for the critical function of asset and inventory control is at risk and needs to be enhanced. A full-time, dedicated staff person is needed to develop and execute a comprehensive materiel management and fixed asset program.

Relationship to the Courts' Strategic Plan:

Strategic Issue 1: *"Enhancing the Administration of Justice"*

This initiative supports Strategy 1.1.5 under this Strategic Issue *by "Develop[ing] processes and systems that ensure administrative efficiencies and utilize best practices."* The processes and systems developed by this position will enhance the administration of justice by promoting responsible stewardship of public resources and ensuring administrative efficiencies.

Methodology. The materiel management position is essential if the Courts are going to be responsive to numerous audit findings relating to the lack of dedicated personnel, policies and written procedures for receiving, tracking, accounting for fixed, controllable and sensitive items purchased by the Courts. The need for this position is also supported by a workload study conducted by the consulting firm of Booz-Allen-Hamilton

Expenditure Plan. The Materiel Management Specialist will be recruited and hired according to Court personnel policies.

Relationship to Existing Funding. Funding is not available to support the Materiel Management Specialist position.

Performance Indicators. Performance measures for this initiative will be the effectiveness of a central point of receipt for deliveries, accurate inventory, adequate storage and timely delivery of items purchased by the Courts.

Leasing Request: Warehouse Space, \$578,000

Problem Statement. To provide adequate storage space for court records, equipment, and furnishings and free up critically needed space for operations within the courthouse, the Courts need an additional 25,000 to 30,000 sq. ft. of storage space. From June 2002 through June 2003, the Administrative Services Division moved over 30,000 cases of court records to the Federal Records Center. Although old equipment and furnishings that were surplus to the present needs of the Courts have gone through the property disposal process, thereby creating more available space within the Courts' facilities, there remains a lack of adequate storage space in the premium square footage areas of various Court buildings for the remaining equipment, furniture, and bulk supply items. As the Courts continue to implement the Master Plan for Facilities and undertake major construction projects, the limited and inadequate space currently used for storage has a much greater value in meeting the overall square footage requirements of the Courts.

Relationship to the Courts' Strategic Plan:

Strategic Issue 1: *"Enhancing the Administration of Justice"*

This initiative supports Strategy 1.1.5 under this Strategic Issue *by "Develop[ing] processes and systems that ensure administrative efficiencies and utilize best practices."* The warehouse space provided under this initiative will enhance the administration of justice through the availability of adequate space for promoting responsible stewardship of public resources and ensuring administrative efficiencies. This initiative will also free valuable space in courthouses for the administration of justice and not storage/warehouse purposes. The establishment of adequate warehouse space will provide direct support services to the Judicial offices, the operating divisions, and other support units of the Court, through effective and efficient management of Court facilities, infrastructure and assets.

Methodology. Warehouse space in the District with these requirements may cost as much as \$17 to \$18 per square foot, and the Division estimates that 25,000 to 30,000 square feet of space will be needed. The cost is approximately \$525,000 per year (30,000 sq. ft x \$17.50 per sq. ft.).

Expenditure Plan. In identifying available warehouse space, the Courts' will be limited to space within the District of Columbia that provides adequate security, climate control, and 24-hour access. All providers whose space meets these requirements will be considered, in accordance with the Courts' procurement policies.

Performance Indicators. Performance on this initiative will be based on the Administrative Services Division's ability to provide adequate off-site storage space upon the request of the Courts various operational divisions and on the Division's timely retrieval of items stored.

Equipment Request: \$115,000

Problem Statement. To improve cost efficiency by avoiding escalating contract costs, and schedule delays and by executing bulk purchasing, the Courts propose to acquire equipment to aid in the maintenance and operation of over one million gross square feet of space in the D.C. Courts' facilities, which include five courthouses in Judiciary Square, Gallery Place rental office space, and three probation field units. The Administrative Services Division receives heavy equipment and bulk supply orders (i.e. carpeting, copy paper orders, various items palletated and large in size, etc.) on a routine basis. To assist in receipt, storage, and delivery of equipment and bulk supply orders, the Division currently rents equipment or pays for "inside delivery". The lack of in-house equipment results in the expenditure of additional funds and delays in delivering needed supplies and services to the judiciary and administrative offices serving the public. For example, several of the Courts' older, historic buildings have extremely high ceilings (20 foot plus). Currently the Division hires contractors to make even minor repairs, as court facilities staff and equipment such as ladders are unable to perform the work. It would be more cost efficient and operationally effective for the Administrative Services Division to have needed equipment readily available to maintain court facilities inside and out. Such equipment would include:

fork lift & scissors lifts	\$55,000
2 all terrain utility carts	\$10,000
3 two-person lifts	\$19,000
motor scrub machine	\$20,000
Kai Whiz Cleaning	\$4,000
key system	\$4,000
snow removal machine	<u>\$3,000</u>
Total	\$115,000

Relationship to the Courts' Strategic Plan:

Strategic Issue 1: *"Enhancing the Administration of Justice"*

This initiative supports Strategy 1.1.5 under this Strategic Issue enhancing the administration of justice by increasing administrative efficiencies in managing equipment and supplies.

Proposed Solution. Funding is requested for a forklift and two scissors lifts that will save approximately \$15,000 per year in contractual services for manpower and approximately \$7,000 in equipment rental. The total manpower requirement for task completion will be cut in half.

Methodology. In identifying the equipment needed, the distribution is as follows:

<u>Item</u>	<u>Use</u>	<u>Total Cost</u>
2 scissors lifts	One each for Buildings A & B	30,000
1 fork lift	To be moved among the buildings in the campus as needed	25,000
Additional equipment	To be used in all court buildings	60,000
Total		\$115,000

Expenditure Plan. The equipment will be purchased from the GSA Schedule, GSA Advantage or through Fed Bid to obtain the best price.

Performance Indicators. Performance measures on this initiative will be based on the Administrative Service Division's ability to provide cost effective and timely maintenance of buildings and facilities.

Table 2
ADMINISTRATIVE SERVICES DIVISION
New Positions Requested

	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Engineer	JS-9	6	359,000	86,000	445,000
Materiel Management Specialist	JS-11	1	72,000	18,000	90,000
Total		7	431,000	104,000	535,000

Table 3
ADMINISTRATIVE SERVICES DIVISION
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Compensation	3,732,000	4,054,000	4,679,000	625,000
12 - Benefits	896,000	1,018,000	1,123,000	150,000
Sub-total Personnel Cost	4,628,000	5,072,000	5,802,000	775,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities			578,000	578,000
24 - Printing & Reproduction				
25 - Other Services	2,940,000	2,984,000	3,063,000	79,000
26 - Supplies & Materials	42,000	43,000	70,000	27,000
31 - Equipment	13,000	13,000	129,000	116,000
Sub-total Non Personnel Cost	2,995,000	3,040,000	3,840,000	800,000
TOTAL	7,623,000	8,067,000	9,642,000	1,575,000
FTE	64	64	71	7

Table 4
ADMINISTRATIVE SERVICES
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	64	56,000	
	Current Positions COLA	64	131,000	
	Engineers	6	359,000	
	Materiel Management Specialist	1	72,000	
Subtotal				618,000
12 - Benefits	Current Positions WIG	64	20,000	
	Current Positions COLA	64	31,000	
	Engineers	6	86,000	
	Materiel Management Specialist	1	17,000	
Subtotal				154,000
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Warehouse Space			578,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase			79,000
26 - Supplies and Materials	Built-in Increase			27,000
31 - Equipment	Equipment			116,000
	Built-in Increase			1,000
Total				1,575,000

Table 5
ADMINISTRATIVE SERVICES DIVISION
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3	0	0	0
JS-4	0	0	0
JS-5	11	11	11
JS-6	8	8	8
JS-7	3	3	3
JS-8	8	8	8
JS-9	8	8	14
JS-10	3	3	3
JS-11	4	4	5
JS-12	8	8	8
JS-13	4	4	4
JS-14	4	4	4
JS-15	2	2	2
JS-16	0	0	0
CES	1	1	1
Ungraded			
Total Salary	3,732,000	4,054,000	4,679,000
Total	64	64	71

**DISTRICT OF COLUMBIA COURT SYSTEM
BUDGET AND FINANCE DIVISION**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
45	4,065,000	45	4,195,000	50	4,785,000	5	590,000

Mission Statement

The Budget and Finance Division will shape an environment in which officials of the D.C. Courts have and use high quality financial and performance information to make and implement effective policy, management, stewardship, and program decisions.

Organizational Background

The Budget and Finance Division is comprised of the Director's Office and four branches, and employs 44 FTEs.

<u>Branch</u>	<u>FTE</u>
Director's Office	7
Budget Branch	3
Accounting Branch	10
Banking and Finance Branch	14
Defender Services Branch	<u>10</u>
DIVISION TOTAL	44

Director's Office

- Mission: To serve as the Executive Officer's chief financial policy advisor, promote responsible resource allocation through the D.C. Courts' annual spending plan, and ensure the financial integrity of the D.C. Courts.
- Responsibilities:
 - ◆ Establish appropriate fiscal policies to carry out the D.C. Courts' programs.
 - ◆ Prepare, enact, and administer the D.C. Courts' annual spending plan (budget).
 - ◆ Analyze legislation, federal, or local (District of Columbia) which has a fiscal impact upon the D.C. Courts.
 - ◆ Develop and maintain the accounting and reporting system of the D.C. Courts.
 - ◆ Monitor/audit expenditures by Court divisions to ensure compliance with law, approved standards, and policies.
 - ◆ Develop expenditure forecasts and estimates.

Budget and Finance Division MAP Objectives

Strategic Issue	Strategic Alignment	Objective
Enhancing the Administration of Justice	1.1.4	Ensure accurate and timely payment processing of approved vouchers and other court ordered compensation in accordance with federal and local statutes, Court rules, Court Administrative Orders as well as applicable Court policies and guidelines by implementing a streamlined Web-based Voucher System, by 3/31/06.
	1.1.5	Provide timely and accurate payments of valid and approved invoices to vendors for goods and services received by the Courts, by processing at least 80% within 30 days of receipt in the Accounting Branch, beginning October 2004.
	1.1.5	Generate timely and accurate tracking and reports of all collections, disbursements, escrows, deposits and fund balances under the Courts' stewardship for internal control purposes that are in compliance with generally accepted accounting practices/principles (GAAP) and audit standards by 4/30/05.
	1.1.5	Enhance efficient use of resources and the availability of accurate and current financial information by preparing monthly division-level payroll reports for division directors by 12/31/05.
	1.5.1	Ensure that the Courts seek necessary resources for defender services by implementing a system that accurately tracks past obligations as defined by the General Accounting Standards Board (GASB), which requires the Courts to account for vouchers when issued, and that accurately projects annual defender services obligations, beginning 8/1/04.
Broadening Access to Justice & Service to the Public	2.2.1	Implement a uniform and time-efficient voucher issuance process for the Criminal Justice Act (CJA), Counsel for Child Abuse and Neglect (CCAN), Guardianship and expert and other services programs by creating uniform vouchers and disseminating information on the new programs to the CJA, CCAN, and guardianship attorneys by 12/31/05.
Promoting Competence, Professionalism & Civility	3.1.2	Enhance employees' performance by requiring at least 90% of all staff to complete at least 10 hours of job-related training by 8/30 of each year.
	3.1.2	Ensure prudent fiscal management of DC Courts' training resources and the timely processing of training and travel requests and reimbursements for judges and DC Courts' personnel by implementing the City Pairs program and developing and implementing new policies and procedures, by 9/30/05.
Building Trust & Confidence	5.2.2	Ensure prudent fiscal management of the DC Courts' resources by continuing to utilize financial management and reporting systems that result in "unqualified audit opinions" annually.
		Ensure the accurate and timely receipt, safeguarding and accounting of fines, fees, costs, payments, and deposits of money or other negotiable instruments by preparing and completing monthly reconciliations of all DC Courts' bank accounts for 100% compliance with established federal and District government statutes and regulations, and generally accepted accounting principles by 9/30/05.
		Implement management controls sufficient to ensure the maximum collection of court ordered restitution payments and the accurate and timely disbursement of restitution funds with uniform policies/procedures and an automated tracking and reporting mechanism, by 12/31/05.
		Enhance the Courts' compliance with grant requirements with improved procedures for preparing timely and accurate financial reports by 8/30/05.
		Enhance the ability of the Courts' executive management to make informed decisions regarding the allocation of court resources and comply with appropriation law, by developing timely, accurate and meaningful annual spending plans and monthly reports for the operating and capital budgets and maintaining a high level of monitoring through effective financial policy documentation.

Budget Branch

- **Mission:** To support officials of the D.C. Courts in maintaining and improving the Courts' fiscal health and services through evaluation and the execution of a balanced budget.
- **Responsibilities:**
 - ◆ Assist the Chief Financial Officer in preparing D.C. Courts' operating and capital budgets for submission to the U.S. Office of Management and Budget and to Congress. After a budget is passed and becomes law, the Budget Branch monitors and reports the annual spending plan based on appropriations for the D.C. Court of Appeals, Superior Court, Court System, and Defender Services.
 - ◆ Oversee the preparation of annual spending plans within quarterly allotments.
 - ◆ Estimate spending for divisions and monitor divisional spending during the fiscal year to ensure it is done in accordance with appropriations law and within the amounts allotted and appropriated.
 - ◆ Prepare independent analyses and estimates relating to the budget of the D.C. Courts, particularly analyses of operating and capital budget expenditures, and present options and alternatives for the Chief Financial Officer to consider.
 - ◆ Prepare various types of analyses for the Chief Financial Officer, including expenditure estimates for programs and/or activities that Court officials, Federal and/or District of Columbia agencies, or members of Congress have introduced or plan to introduce that will impact the D.C. Courts' budget.
 - ◆ Prepare and submit on a timely basis:
 - monthly year-to-date entity-wide obligation and expenditure reports to the Joint Committee on Judicial Administration;
 - monthly year-to-date division-wide obligation and expenditure reports to division directors;
 - operating expenditure modification requests for personal services (PS) and non-personal services (NPS) to the General Services Administration (GSA); and
 - grant financial reports to grantors (federal agencies and non-profit organizations) and grantees (D.C. Courts divisions) specifying the year-to-date expenditures.

Table 1
BUDGET AND FINANCE DIVISION
Budget Branch
Key Performance Indicators

Key Performance Indicator	Data Source	Actual FY 2004	Estimate FY 2005	Projection FY 2006	Projection FY 2007
Documents produced to prepare Annual Budget	Pegasys Financial Data and prior years' divisional Budgets	8	8	8	8
Time utilized in budget development	Management Reports	50%	40%	40%	40%
Financial reports provided to Senior Court Executives and Joint Committee	Pegasys budget reports on Purchase Requisitions and Contract Obligations	20	20	20	20
Division Directors completing Federal Budget Process Training	D.C. Courts Budget Office	26	26	26	26
Time spent providing technical assistance to D.C. Courts' Managers for them to achieve JFMIP Budgeting Core Competency	Management Schedules	10%	10%	8%	8%

Restructuring or Work Process Redesign

At the start of FY 2001, there was only one person in the Budget Branch. One Budget Analyst was added in FY 2001 and a second was subsequently detailed to provide the Branch Chief with additional support. Two members of the Budget Branch attended courses on "Budget Estimating Using Microsoft Excel" and "Writing Effective Budget Justification Workshop" to automate current budget process and provide writing enhancements for budget review and evaluation. The GSA's new Pegasys system will greatly streamline the budget administration and reporting function.

Accounting Branch

- **Mission:** To provide timely, accurate, and useful financial information for making decisions, monitoring performance day to day, and maintaining accountability and stewardship to support the Court divisions and other users of court financial information.
- **Responsibilities:**
 - ◆ Analyze, interpret, and present the D.C. Courts' financial position through timely, accurate, and professional financial reports. These reports provide:
 - Public assurance as to the accountability and integrity of the use of Court resources;
 - Adherence to budgetary and accounting policies established by Court management;
 - Adherence to budgetary and accounting policies established by the Governmental Accounting Standards Board (GASB), Federal Accounting Standards Advisory Board (FASAB), Office of Management and Budget (OMB); and

- Compliance with Federal mandates.
- ◆ Prepare and maintain appropriation dollar amounts in the accounting system and reconcile D.C. Courts' appropriations and expenditures to ensure the accuracy and integrity of the information in the accounting system.
- ◆ Perform the certification of funds availability and payment functions in the General Services Administration (GSA) accounting system. Prepare the accounting documents and enter approved payment documents into the accounting system.
- ◆ Perform court-wide data collection and record keeping necessary for reporting the D.C. Courts' general fixed assets, trust, and proprietary fund assets. Prepare the Annual Financial Report in accordance with generally accepted accounting principles.
- ◆ Prepare all worksheets related to the annual audit.
- ◆ Coordinate the annual independent audit.
- ◆ Direct, plan, coordinate, and evaluate the resources, processes, and procedures related to data integrity, security, and controls within the D.C. Courts' financial systems. The branch directs and coordinates the functional aspect of financial system upgrades and improvements; educates D.C. Courts users on the system; performs troubleshooting and system table maintenance activities; and facilitates the timely availability of internal financial reports.
- ◆ Record all fixed assets for the Court.
- ◆ Reconcile and receive payments due from employee travel vouchers.
- ◆ Provide training on all financial management systems.

Table 2
BUDGET AND FINANCE DIVISION
Accounting Branch
Key Performance Indicators

Key Performance Indicator	Data Source	Actual FY 2004	Estimate FY 2005	Projection FY 2006	Projection FY 2007
Establish a baseline for processing invoices: Distribution of invoices and payment approval	Payment Accounting Invoice Tracking	2 days- 10 days	No change	No change	No change
Percentage of travel and training invoices processed timely	Payment Accounting Invoice Tracking	90%	+5%	+1%	+1%
Number of timely payments	Payment Accounting Invoice Tracking	90%	+5%	+1%	+1%
Number of days to close fiscal year end accounts – 45 days	Supervisor's Log	70%	+5%	+5%	+5%
Number of internal quarterly reports produced.	Modified Financial Statements	70%	+5%	+5%	+5%

Defender Services Branch

- **Mission:** As required by law, the District of Columbia Courts appoint and compensate attorneys to represent persons who are financially unable to obtain such representation under three Defender Services programs. In addition to legal representation, these programs offer indigent persons access to experts to provide services such as transcripts of court proceedings; expert witness testimony; foreign and sign language interpretations; and genetic testing.
- **Responsibilities:**
 - ◆ Issuance, audit, review, tracking, and payment of vouchers for the Criminal Justice Act (CJA) and Council for Child Abuse and Neglect (CCAN) Programs. The types of vouchers that are processed by the Defender Services program include vouchers for legal and expert services (including supplemental voucher forms); vouchers for Mental Health and Retardation proceedings; and Appeal proceedings vouchers. (As prescribed under D.C. Official Code 23-106, witnesses for indigent defendants are paid by the Court if: 1) a valid and completed subpoena has been issued for the presence of the witness or 2) the presence of the witness is necessary to provide for an adequate defense.)
 - ◆ Review, process, and pay court-ordered compensation to legal and expert service providers who represent and protect mentally incapacitated individuals and minors whose parents are deceased under the Guardianship program.
- **Defender Services Branch Work Process:** The Branch has initiated several initiatives to improve customer service to attorneys and reduce the processing time for payment of vouchers. Processes have been redesigned for the Criminal Justice Act (CJA), Counsel for Child Abuse and Neglect (CCAN), and Guardianship and Protective Proceedings Act vouchers. The Branch has also implemented a new Web Voucher System for the submission of vouchers online. Currently, this system provides an excellent means of tracking vouchers, expedites the payment process, and enhances data collection to assist program management. It also allows users to request expert services vouchers directly online and has the capacity to issue such vouchers within twenty-four hours. The Web Voucher System will give the Courts the capability to reach the aforementioned goals by improving customer service, reducing the time from date of receipt to payment date and eliminate the incidents of lost or misplaced vouchers. The Branch anticipates that all vouchers will be electronic by early 2006.

Table 3
BUDGET AND FINANCE DIVISION
Defender Services Branch
Key Performance Indicators

Key Performance Indicator	Data Source	Actual FY 2004	Estimate FY 2005	Projection FY 2006	Projection FY 2007
Complete and accurate vouchers processed within 45 days of receipt in the Defender Services Branch	Weekly review of batch reports before payroll is generated & Random review of vouchers	60%	75%	90%	90%
Court total processing time of vouchers, from date of issuance, through final case disposition and payment reduced to 30 months	Voucher Tracking System	80%	90%	100%	100%
Increase in Customer Satisfaction	Customer Surveys	80%	90%	99%	99%
Adherence to CJA and CCAN Plans and Admin. Orders	Management Reports	99%	100%	100%	100%
Percentage of vouchers submitted in compliance with operating procedures	Voucher Tracking System	75%	85%	99%	99%
Revised Defender Services voucher forms developed	Vouchers	5	7	7	7
Informational materials disseminated to Public	CJA and CCAN Plans	30	30	30	30
Decrease number of questions concerning the voucher submission process	Customer Service Survey	30%	60%	90%	90%
Guideline fee case acceptance	Voucher Tracking System	80%	90%	100%	100%
Vouchers filed on line	Voucher Tracking System	30%	60%	90%	100%

Banking and Finance Branch

- **Mission:** To ensure the accurate and secure receiving, receipting, and processing of payments received at various locations throughout the D.C. Courts, including payments processed manually, through cash registers, or through automated systems.
- **Responsibilities:**
 - ◆ Receive payments (court fees, fines, and forfeitures) from customers at public cashier offices.
 - ◆ Establish and maintain good customer relations.
 - ◆ Perform cash management operations according to established D.C. Courts' financial policies and procedures.
 - ◆ Protect the assets of the D.C. Courts through sound accounting, reporting, and loss prevention practices.
 - ◆ Deposit all monies received and complete all cash receipt forms promptly and accurately; balance cash daily.
 - ◆ Account for all monies held in escrow in the Registry of the Court and reconcile all Court bank accounts.

- ◆ Make payments to witnesses in accordance with the D.C. Official Code and related Court rules.

Table 4
BUDGET AND FINANCE DIVISION
Banking and Finance Branch
Key Performance Indicators

Key Performance Indicator	Data Source	Actual FY 2004	Estimate FY 2005	Projection FY 2006	Projection FY 2007
Average number of daily transactions per division cashier	Court Finance and Remittance System (CAFR)	40	35	30	30
Number of monthly deposits	Peachtree Integrated Accounting System	236	240	240	240
Accuracy in processing payments	Cfars/Peachtree	98%	99.5%	99.5%	99.5%
Preparation of financial reports within 45 days of month's end	Peachtree	95%	100%	100%	100%
Increase in customer satisfaction	Customer Surveys and Customer Suggestion Box	90%	95%	96%	98%
Monthly deposits per month	Random sampling of monthly reconciliations	236	240	240	245
Bank reconciliations per month	DC Courts' Comprehensive Annual Financial Report (CAFR)	15	15	15	15
Accurate completion of the monthly bank reconciliations of the D.C. Courts' bank accounts within 45 days of each month's end	Peachtree	95%	100%	100%	100%

Banking and Finance Branch Work Process Redesign: Banking and Finance has reclassified some existing positions to more closely align them with the cashiering, banking, and accounting functions performed by its employees. The reconciliation process has been redesigned by the new Branch Chief to more accurately report on the status of payments, deposits, and transfers. New internal controls and procedures have been initiated to more closely manage and monitor workflow.

FY 2007 Request

The Courts' FY 2007 Request for the Budget and Finance Division is \$4,785,000, an increase of \$590,000 (12%) above the FY 2006 Enacted level. The requested increase consists of \$249,000 for 3 FTEs to augment the accounting staff; \$166,000 for 2 FTEs to enhance budget operations; and \$175,000 for built-in cost increases.

FTE Request: 3 Accountants (JS-12), \$249,000

Problem Statement. To implement a stand-alone general ledger system to enhance fiscal management and facilitate the preparation of financial statements and reporting requirements of the General Accounting Standards Board (GASB), as recommended in recent independent audits by KPMG, the Courts need additional accounting staff. The D.C. Courts operate under two distinct accounting requirements: (1) Federal Accounting Standards Advisory Board (FASAB) regulations that govern federal financial systems and reporting; and (2) GAS regulations, under which the Courts' financial statements are audited. Meeting both sets of requirements requires the knowledge and expertise of Accountants with both federal and state/municipal experience.

In FY 2003, the Courts implemented the GSA Pegasys financial accounting system, which is based on the Momentum financial system and is a Joint Financial Management Improvement Program (JFMIP) approved Federal Financial Management package. The accounting system provides a standard general ledger, budget subsystem and a purchasing subsystem that includes some processing and tracking functions. The new JFMIP requirements for financial systems and the FASAB and the GASB accounting requirements have resulted in increased responsibilities for the Accounting Branch staff. Current staffing in the Accounting Branch is inadequate to meet the increased accounting requirements and provide timely reconciliation of the standard general ledger, including payroll bi-weekly entries, and the preparation of the Comprehensive Annual Financial Report (CAFR). The CAFR provides elected and appointed officials, staff, citizens, and the general public with useful information about the Courts' operations and financial position. To promote accountability, the Courts' Budget and Finance Division prepares these reports in accordance with standards promulgated by GASB, FASB, the Government Finance Officer Association of the United States and Canada (GFOA) and other accounting rule-making bodies. The Division is responsible for the accuracy, completeness, and fairness of the data presented. A recent independent audit cited need for additional staff dedicated to meeting these accounting requirements.

Relationship to Court Mission, Vision and Strategic Goals. The Budget and Finance Division is responsible for ensuring fiscal accountability, which supports the Courts' goal of enhancing the administration of justice by ensuring administrative efficiencies and utilizing best practices. Providing division directors with timely and detailed financial information on which to base divisional management decisions will enhance administrative efficiencies and strengthen the fiscal integrity of the Courts.

Relationship to Divisional Objectives. The request for additional accountants supports the Budget and Finance Division's MAP objective to ensure prudent fiscal management of the D.C. Courts resources by continuing to utilize financial management and reporting systems that result in "unqualified audit opinions" annually.

Relationship to Existing Funding. Existing resources cannot support the budget request.

Proposed Solutions. Hire three (3) accountants to analyze and reconcile the Courts' standard general ledger accounts, including payroll on a monthly basis, to prepare the CAFR as part of the annual audit. The accountants will analyze and reconcile the payroll entries and the budgetary and proprietary standard general ledger accounts for each fund over the five open appropriation years. The accountants will research and reconcile unreconciled commitments and obligations.

Methodology. The need for the accountants is based on audit findings and recommendations from KPMG LLP and a prior GAO audit regarding the daily, weekly, and monthly reconciliation of all accounts (escrow, expenditure, capital, grants).

Expenditure Plan. The recruitment and selection process will be conducted in accordance with court personnel policies.

Performance Indicators. The Courts will measure performance through the reduction in the time and effort to complete the annual audit.

FTE Request: 2 Budget Analysts (JS-12), \$166,000

Problem Statement. To improve the Courts' budget execution capability and ability to monitor, measure, evaluate, and report on budgetary performance, additional budget staffs are needed. Consistent with the President's agenda for linking performance with the budgetary process, and for improving financial performance, the Department of the Treasury, the Office of Management and Budget, the General Accounting Office and the Office of Personnel Management are collaborating to improve financial management policies and practices. Since the enactment of the National Capital Revitalization and Self-Government Improvement Act of 1997, the Courts have been working to adjust budgetary and financial policies, practices, and reporting systems to ensure the fulfillment of Federal requirements. To meet the additional budgetary and financial requirements, it is essential that the Budget Branch be provided with additional FTEs.

Relationship to Court's Vision, Mission and Goals. This initiative supports the D.C. Courts' goal of enhancing the administration of justice by seeking resources necessary to support effective and efficient operations and expending them prudently. Improved reporting through the enhancement of performance criteria and measurement systems linking budgetary resources with strategic goals also supports the Courts' goal of being accountable to the public.

Relationship to Divisional Objectives. This request for increased staffing in the budget branch supports the division's mission to provide timely, quality and reliable financial and performance information to make and implement effective policy, management, stewardship, and program decisions.

Relationship to Existing Funding. An additional two (2) FTEs are required in the budget branch to ensure that all budgetary related duties are timely executed, since failure to do so will have courtwide implications.

Proposed Solutions. Hire (2) budget analysts to assist in the performance of programmatic, trend and other analyses to ensure that the budget branch is able to effectively and efficiently carry out its mandates relative to the development, implementation, execution and reporting on the Courts' budget. Duties will also include accounting and monitoring of grant funds, capital assets, and inter-DC Court reimbursements.

Methodology. The continued development of performance criteria and measurement systems linking budgetary resources to strategic goals necessitates this request for budget analysts to carry out key budgetary functions. Moreover, with increasingly limited opportunities for additional Federal funding, there is an increased need for more analyses to ensure proper resource allocation and the recovery of costs for grant expenditure and other reimbursable services. Finally, directors and court management require the processing of purchase requisitions in a timely manner by budget staff that would have the knowledge of prior fiscal year budget requests in the fund certification that is linked to budget execution. This methodology would provide expenditure expertise within each court fund through fund certification, and would expedite the budget preparation process with staff having working knowledge of current year spending against divisional spending plans.

Expenditure Plan. The recruitment and selection process will be conducted in accordance with the D.C. Courts' personnel policies.

Performance Indicators. The D.C. Courts will measure performance by 1) timely issuance of monthly budget to actual reports; 2) timely drawdowns of grant and reimbursable expenditures; and 3) trend, progressive and other analyses.

Table 5
BUDGET AND FINANCE DIVISION
New Positions Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Accountants	JS-12	3	201,000	48,000	249,000
Budget Analysts	JS-12	2	134,000	32,000	166,000
Total		6	335,000	80,000	415,000

Table 6
BUDGET AND FINANCE DIVISION
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Compensation	2,574,000	2,669,000	3,125,000	456,000
12 - Benefits	618,000	640,000	750,000	110,000
Subtotal Personal Services	<i>3,192,000</i>	<i>3,309,000</i>	<i>3,875,000</i>	<i>566,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	4,000	4,000	5,000	1,000
25 - Other Services	856,000	869,000	890,000	21,000
26 - Supplies & Materials	9,000	9,000	10,000	1,000
31 - Equipment	4,000	4,000	5,000	1,000
Subtotal Non-Personal Services	<i>873,000</i>	<i>886,000</i>	<i>910,000</i>	<i>24,000</i>
TOTAL	4,065,000	4,195,000	4,785,000	590,000
FTE	44	44	49	5

Table 7
BUDGET AND FINANCE DIVISION
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	44	30,000	
	Current Positions COLA	44	91,000	
	Budget Analysts	2	134,000	
	Accountants	3	201,000	
Subtotal				456,000
12 - Benefits	Current Positions WIG	44	7,000	
	Current Positions COLA	44	23,000	
	Budget Analysts	2	32,000	
	Accountants	3	48,000	
Subtotal				110,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction	Built-in			1,000
25 - Other Services	Built-in			21,000
26 - Supplies and Materials	Built-in			1,000
31 - Equipment	Built-in			1,000
Total				590,000

Table 8
BUDGET AND FINANCE DIVISION
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4	1	1	1
JS-5			
JS-6			
JS-7	6	6	6
JS-8	1	1	1
JS-9	11	11	11
JS-10	1	1	1
JS-11	7	7	7
JS-12	3	3	8
JS-13	8	8	8
JS-14	4	4	4
JS-15	1	1	1
JS-16			
CES	1	1	1
Total Salary	2,574,000	2,669,000	3,125,000
Total	44	44	49

**DISTRICT OF COLUMBIA COURT SYSTEM
CENTER FOR EDUCATION AND TRAINING**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
6	1,121,000	6	1,148,000	6	1,472,000	0	324,000

Mission Statement

The District of Columbia Courts' Center for Education and Training provides comprehensive learning opportunities to enhance the knowledge, skill, and ability of all levels of personnel, thus improving the Courts' ability to provide service to internal and external constituencies.

Organizational Background

The Center's staff of six FTEs provides judicial training mandated by statute as well as judicial branch education in the Court of Appeals and Superior Court, and education and training opportunities for all court personnel. The Center offers classes in law and judicial procedure, senior management skills, leadership and communication competencies, Microsoft Office and Windows software training, customer service, and diversity training to complement procedural and technical training provided by operating and support divisions. The Center also develops and provides informational programs for court visitors, including international guests.

Division Objectives

The Division's objectives support the Courts' strategic goal 3.1 to employ a highly-skilled and well-trained workforce:

- To support the professional development of all judicial branch personnel through 150 annual courses and conferences, so that they may better serve the public and, ultimately, enhance the public's trust and confidence in the Courts. These courses will receive participant evaluations of at least 3.5 on a 5-point scale.
- To respond to specialized requests for training from specific divisions within 48 hours so that employees can support the Courts' goal of enhancing the administration of justice.
- To provide at least 24 hours of annual certification and licensure training for juvenile probation officers and case workers so that they can better assist the Superior Court to broaden access to justice and service to the public.
- To develop alternative instructional methodologies to enhance the level of student participation. Courses will be specially designed for courtroom staff members who find it difficult to participate in classroom instruction during the workday.
- To align senior management training with the Ten Core Competencies of the National Association for Court Management and the certificate and degree programs of major

universities through two Institute for Court Management or similar programs each year so that they will be better able to provide administrative, financial, and management support to the Courts.

- To provide executive development opportunities to the Court Executive Service staff to help them achieve their performance goals and, thereby, the strategic goals of the Courts.
- To provide the training component of Succession Planning, which has been identified as a best practice in the President's Management Agenda, to address critical skill gaps facing the D.C. Courts as a high percentage of leadership staff approach retirement.
- To provide at least ten hours of training for all court employees.

Restructuring or Work Process Redesign

The Courts recently conducted a courtwide training needs assessment to determine the training topics deemed most important by judicial officers and court staff, to secure feedback about the effectiveness of the existing training, and to obtain recommendations regarding the administrative structure of the training program and the delivery of training. The Center's training offerings are designed around the recommendations of that assessment, and the Center is in the process of reorganizing its staffing structure in light of the assessment. In addition, the registration process was automated. Professional staff has been working more closely with support and operating divisions to tailor training to division-specific needs. Finally, implementation of the Integrated Justice Information System to consolidate approximately 20 legacy databases has necessitated a stronger focus on technology training.

FY 2007 Request

In FY 2007, the Courts' request for the Center for Education and Training is \$1,472,000, an increase of \$324,000 (27%) above the FY 2006 Enacted level. The requested increase consists of \$140,000 for leadership and management institutes; \$135,000 for training and travel for the Court of Appeals and the Superior Court; \$12,000 for specialized training for the Office of General Counsel staff; and \$37,000 for built-in cost increases.

Training Request: Leadership and Management Institutes –\$140,000

Problem Statement. To maximize the effectiveness of the Courts' executives and senior managers and supervisors, the Courts seek to establish executive and management institutes modeled on federal programs with the goal of enhancing the skills of senior executives and developing managers into future organizational leaders. Like the Federal Executive Institute and Management Development Centers sponsored by the Office of Personnel Management, the Courts' institutes will be dedicated to developing career leaders and offering world-class training programs. Through these institutes, the Courts will develop appropriate core competencies and offer a coherent, strategically based curriculum.

Relationship to Court Mission and Goals. The leadership and management institutes support the Courts' strategic goal of promoting competence, professionalism, and civility by employing a highly skilled and well-trained workforce. Specifically, the request supports the Courts' Strategy 3.1.2 to encourage and support professional development of court personnel to enhance their service to the Courts and the public. The training programs will be designed to tie employees' skills to achieving the goals of the Courts' Strategic Plan.

Relationship to Divisional Objectives. The Center is charged with providing learning and professional development opportunities to court personnel. These institutes are key elements of the Center's Management Action Plans to implement the Courts' Strategic Plan.

Relationship to Existing Funding. The Courts' existing training budget is not sufficient to finance the Leadership Institute and the Management Institute.

Proposed Solutions. The Courts propose the establishment of leadership and management institutes to enhance the skills of senior employees, and develop future leaders.

Methodology. The Center determined that the leadership and management institutes are necessary to address needs identified in the recently conducted assessment. The cost estimate is based on \$60,000 to finance the Leadership Institute for team training sessions, individual coaching, and leadership and strategic management training and \$80,000 to finance the Management Institute.

Expenditure Plan. Court staff will establish missions, visions, core competencies, and curricula for the Leadership Institute and the Management Institute. Training programs will be procured in accordance with court procurement policies.

Performance Indicators. Performance indicators for the Leadership Institute include 5% increase in achievement of measures in performance plans, division MAPs, and courtwide performance measures. Performance measures for the Management Institute include a high completion ratio, high participant satisfaction ratings, and high participant skill development.

Training Request: Superior Court Staff - \$100,000

Problem Statement. To enhance the professional development of Superior Court staff, the Courts seek an increase in travel and training funds. The requested funds would enhance training opportunities for 663 employees in ten Operating Divisions. Funds would be used for attendance at professional conferences, courses offered by the National Center for State Courts, and countless other court technology and court operations conferences across the country. For example, the National Association for Court Management sponsors an annual conference that offers sessions on varied topics of interest to the profession. In addition, it provides an opportunity to exchange ideas with

court professionals from other jurisdictions throughout the country and to learn best practices from courts around the nation. There is much to be gained by learning how other courts address issues and challenges similar to those faced by the D.C. Courts.

As the Court introduces new technology, court employees need to be trained to utilize new and innovative tools to accomplish their duties. The new Integrated Justice Information System (IJIS) and the CourtSmart Digital Recording System require additional skills and significantly change the way the Courtroom Clerks accomplish their tasks inside the courtroom.

The Courts recently implemented a new performance management program that rewards outstanding performance. Enhanced training opportunities are critical to raising the skill level of every court employee to permit them to reach the highest performance levels. This training will enhance their ability to compete for promotions and vacancies with outside applicants who may have benefited from more skill-based training in the private sector and other government agencies.

Relationship to Court Mission and Goals. The requested funds would support Goal #3 of the Courts' Strategic Plan, to promote competence and professionalism. More specifically, it supports the Courts' strategy 3.1.2, to encourage and support the professional development of judges and court personnel to enhance their service to the Courts and the public.

Relationship to Existing Funding. Existing resources are inadequate to finance adequate training for the large number of employees in the Superior Court.

Proposed Solutions. The requested funds would help provide every court employee with training opportunities that will enhance their existing skills and help them develop new skills.

Methodology. Training opportunities, such as attendance at professional conferences will be offered to employees based on an assessment of needs.

Expenditure Plan. Annual training plans will be developed by each division identifying classes and conferences to enhance employees' skills.

Performance Indicators. Performance of this request will be evaluated on the basis of enhancement of skills and high performance ratings for trained employees.

Training Request: Court of Appeals Judges and Staff - \$35,000

Problem Statement. To enhance the professional development of Court of Appeals judges and staff, the Courts seek an increase in travel and training funds. The personnel of the Court of Appeals require specialized training unique to appellate case management. Appellate judges utilize specialized skill sets, and practices for appellate courts differ from those of trial courts. For example, the Court of Appeals recently

launched a mediation pilot project to assess whether the use of alternative dispute resolution (ADR) techniques traditionally used at the trial court level can be beneficial to expediting case resolution and improving litigant satisfaction in appeals cases. As the use of ADR in appellate cases is a relatively new area, the D.C. Court of Appeals staff needs education and training in ADR methodologies and programs. National organizations with expertise in appellate court best practices offer training and professional conferences that enable judges and staff to learn both from experts and from their colleagues in other jurisdictions. In addition, the Courts recently implemented a new performance management program for employees that necessitates the provision of training and development opportunities for employees as well as management training in coaching, enhancing employee accountability, and giving feedback. Well-trained judges and staff are critical to the effective administration of justice.

Relationship to Court Mission and Goals. The requested funds would support Strategic Issue 3 of the Courts' Strategic Plan, to promote competence and professionalism. More specifically, it supports the Courts' Strategy 3.1.2, to encourage and support the professional development of judges and court personnel to enhance their service to the Courts and the public.

Relationship to Existing Funding. Existing resources are not adequate to finance additional and more specialized training needed by the Court of Appeals.

Proposed Solutions. The requested funds would help provide every Court of Appeals judge and employee with training opportunities that will enhance their existing skills and help them develop new skills.

Methodology. Education and training opportunities, including attendance at professional conferences, will be offered to employees based on an assessment of needs.

Expenditure Plan. An annual training plan will be developed identifying classes and conferences to enhance skills.

Performance Indicators. Performance of this request will be evaluated on the basis of enhancement of judicial and staff skills.

Training Request: Office of the General Counsel - \$12,000

Problem Statement. To ensure that the Courts' general counsel staff have current legal knowledge of Federal regulations and employment law issues, the Courts request funding for continuing legal education. The recent institution of direct federal funding for the D.C. Courts requires expertise in federal contract and procurement law and regulations. While the regulations are not in all instances applicable to the Courts, the guidance and safeguards which they create will allow the Courts to ensure compliance with federal appropriations laws. It is anticipated that this will be ongoing training. There is also a need to fund ongoing training on employment law and other legal areas for the Division's

three attorneys to ensure currency of information and to support continuing legal education.

Relationship to Court Mission and Goals. This training request supports the Courts' strategic goal of promoting competence, professionalism, and civility by employing a highly skilled and well-trained workforce. Specifically, the request supports the Courts' Strategy 3.1.2 to encourage and support professional development of court personnel to enhance their service to the Courts and the public.

Relationship to Divisional Objectives. Expertise in the area of federal contract and procurement law will enable the Office to accomplish the objectives of providing "timely and accurate advice."

Relationship to Existing Funding. There are no existing resources to fund this request.

Proposed Solutions. Attendance at training courses on federal contract and procurement law and regulations and employment law for staff members involved in providing legal advice and direction on these matters is proposed.

Methodology. Following an assessment of needs, conferences, and classes will be identified on the subject matters in which the staff needs training.

Expenditure Plan. A training plan for the year will be developed and funds will be obligated and expended in accordance with Court policies.

Performance Indicators. Division skills in the area of federal contract and procurement law will be greatly enhanced through the augmentation and continuation of training on these matters.

Table 1
CENTER FOR EDUCATION AND TRAINING
Budget Authority by Object Class

	FY 2005	FY 2006	FY 2007	Difference
	Enacted	Enacted	Request	FY 2006/2007
11 - Compensation	423,000	438,000	456,000	18,000
12 - Benefits	102,000	105,000	110,000	5,000
Sub-total Personnel Cost	<i>525,000</i>	<i>543,000</i>	<i>566,000</i>	<i>23,000</i>
21 - Travel, Transp. of Persons	286,000	290,000	397,000	107,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	307,000	312,000	506,000	194,000
26 - Supplies & Materials	2,000	2,000	2,000	0
31 - Equipment	1,000	1,000	1,000	0
Sub-total Non Personnel Cost	<i>596,000</i>	<i>605,000</i>	<i>906,000</i>	<i>301,000</i>
TOTAL	1,121,000	1,148,000	1,472,000	324,000
FTE	6	6	6	0

Table 2
CENTER FOR EDUCATION AND TRAINING
Detail, Difference FY 2006/FY 2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	6	3,000	
	Current Positions COLA	6	15,000	
Subtotal				18,000
12 - Benefits	Current Positions WIG	6	1,000	
	Current Positions COLA	6	4,000	
Subtotal				5,000
21 - Travel and Transportation	Built-in Increase		7,000	
	Superior Court Staff Training		100,000	
Subtotal				107,000
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase		7,000	
	Leadership & Management Institutes		140,000	
	General Counsel Office Training		12,000	
	Court of Appeals Training		35,000	
Subtotal				194,000
26 - Supplies and Materials				
31 - Equipment				
Total				324,000

Table 3
CENTER FOR EDUCATION AND TRAINING
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9	1	1	1
JS-10			
JS-11	1	1	1
JS-12			
JS-13	2	2	2
JS-14	1	1	1
JS-15			
JS-16			
JS-17			
CES	1	1	1
Ungraded			
Total Salary	423,000	438,000	456,000
Total	6	6	6

**DISTRICT OF COLUMBIA COURT SYSTEM
COURT REPORTING AND RECORDING DIVISION**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
67	5,981,000	67	6,149,000	67	6,459,000	0	310,000

Mission

The Court Reporting and Recording Division prepares verbatim records of the proceedings in the D.C. Superior Court trials, produces transcripts for filing in the Court of Appeals and the Superior Court, and prepares transcript orders from attorneys, litigants, and other interested parties. Emphasis is placed on accurate, timely production of transcripts to ensure exceptional service. In addition, the Division provides audiovisual support for Court training programs, conferences, ceremonies, and various other programs.

Organizational Background

The Division is comprised of the Director's office and four branches: Court Reporting Branch, Central Recording Branch, Transcription Branch, and CR Administrative Branch.

1. The Office of the Director is responsible for developing initiatives, overseeing project management, as well leading Division-wide operational and administrative initiatives in furtherance of the Strategic Plan and other D.C. Courts' programs and initiatives as they relate to the Court Reporting and Recording Division.
2. The Court Reporting Branch is comprised of stenotype reporters and voice writers who are responsible for taking verbatim trial proceedings and producing official transcripts.
3. The Central Recording Branch is responsible for digitally recording all proceedings in courtrooms in the Moultrie Building, Building A, and Building B, a total of 93 courtrooms and hearing rooms. Further responsibilities include copying audio of proceedings to compact discs for transcription by in-house and vendor transcribers. The Branch also provides audiovisual equipment for Court functions.
4. The Transcription Branch is responsible for producing verbatim transcripts of digital and analog recorded proceedings held in D.C. Superior Court that were not taken by an Official Court Reporter, including preliminary hearings, arraignments, juvenile new referrals, small claims proceedings, landlord and tenant proceedings, and traffic proceedings.
5. The CR Administrative Branch is responsible for processing incoming transcript requests and outgoing completed transcripts for the Division and entering relevant data into the Court Reporting Transcript Tracking System. The Branch is also

responsible for recordkeeping and disseminating transcripts to ordering parties and the Court of Appeals.

Division MAP Objectives

The Court Reporting and Recording Division provides transcripts for judges, lawyers, and other parties. The Division provides state-of-the-art court reporting and digital audio recording services and quality audiovisual services. The objective of the Division is to produce accurate and timely transcripts of court proceedings. The Court Reporting and Recording Division's Management Action Plan (MAP) objectives follow:

- Enhance efficient operations and the quality of service provided to persons conducting business with the Court Reporting and Recording Division by developing a plan to reengineer processes through the utilization of technologies and increased automation.
- Ensure that court proceedings are recorded on audiotape, by monitoring 100% of courtrooms on a daily basis to ensure the complete proceeding is recorded.
- Ensure the timely availability of transcripts of court proceedings for judges, attorneys, litigants, and other parties by producing 100% of appeal transcripts within 60 days and 100% of non-appeal transcripts within 30 days.
- Ensure that transcripts of court proceedings are available to judges, litigants, and attorneys in a timely manner by reducing the transcript backlog.
- Ensure the production of accurate transcripts by performing quarterly random audits to verify that transcripts are a verbatim record of court proceedings.
- Expand court reporting services by developing and implementing a realtime program, including a training and certification plan, best practices and analysis, and recommendations on compensation.
- Enhance the performance and job satisfaction of CRRD employees by requiring that at least 75% of staff complete at least 10 hours of job-related training annually.
- Enhance staffing for the Court Reporting and Recording Division by developing and implementing a Court Reporter Apprenticeship Program.
- Enhance employee performance and compliance with Division policies and procedures by updating the Court Reporter's Handbook and re-train all staff on updated policies and procedures.
- Enhance employee performance and compliance with Division policies and procedures by developing a Recording and Audio Technician's Handbook.

Table 1
COURT REPORTING AND RECORDING DIVISION
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	Actual FY2004	Estimated FY2005	Projection FY2006	Projection FY2007
Input	Transcription Branch orders received	Division Records	3,019	3,200	3,300	3,400
Input	Court Reporting Branch orders received	Division Records	3,554	3,600	3,700	3,800
Output	Pages of court transcripts produced (appeal/non-appeal)	Division Records	355,843	370,000	390,000	415,000
Output	Judicial requests to restore transcripts *	Division Records	238	150	50	50
Quality	Average time to complete transcripts of taped proceedings (appeal/non-appeal)	Division Records	59 days/ 37 days	55 days/ 25 days	53 days/ 23 days	50 days/ 20 days
Quality	Average time to complete transcripts by court reporters (appeal/non-appeal)	Division Records	61 days/ 29 days	60 days/ 25 days	58 days/ 20 days	55 days/ 20 days

* With the implementation of the new digital audio recording system judges (and others) have access to online audio, thus greatly reducing the need to restore audio.

FY 2007 Request

In FY 2007, the Courts request for the Court Reporting and Recording Division is \$6,459,000, an increase of \$310,000 (5%) above the FY 2006 Enacted level. The request consists of \$87,000 for a maintenance contract cost increase, and \$223,000 for built-in increases.

Table 3
COURT REPORTING AND RECORDING DIVISION
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 – Compensation	4,384,000	4,513,000	4,685,000	172,000
12 – Benefits	1,052,000	1,083,000	1,124,000	41,000
Subtotal Personnel Cost	5,436,000	5,596,000	5,809,000	213,000
21 - Travel, Transportation of Persons				
22 – Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25 - Other Services	163,000	165,000	252,000	87,000
26 - Supplies & Materials	44,000	45,000	47,000	2,000
31 - Equipment	338,000	343,000	351,000	8,000
Subtotal Non Personnel Cost	545,000	553,000	650,000	97,000
TOTAL	5,981,000	6,149,000	6,459,000	310,000
FTE	67	67	67	0

Table 4
COURT REPORTING AND RECORDING DIVISION
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	67	17,000	
	Current Positions COLA	67	155,000	
Subtotal				172,000
12 - Benefits	Current Positions WIG	67	4,000	
	Current Positions COLA	67	37,000	
Subtotal				41,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Communications & Utilities				
24 - Printing & Reproduction				
25- Other services	Built-in		87,000	87,000
26 - Supplies and Materials	Built-in		2,000	2,000
31 - Equipment	Built-in		8,000	8,000
Subtotal				97,000
Total				310,000

Table 5
COURT REPORTING AND RECORDING DIVISION
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	4	4	4
JS-8	13	13	13
JS-9	3	3	3
JS-10	2	2	2
JS-11	4	4	4
JS-12	37	37	37
JS-13	1	1	1
JS-14	1	1	1
JS-15	2	1	1
JS-16			
JS-17		1	1
Ungraded			
Total Salary	4,384,000	4,513,000	4,685,000
Total	67	67	67

**DISTRICT OF COLUMBIA COURT SYSTEM
HUMAN RESOURCES DIVISION**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
18 ¹	1,568,000	18	1,627,000	18	2,550,000	0	928,000

Mission

The Human Resources Division is responsible for the administration of personnel policies and procedures promulgated by the Joint Committee on Judicial Administration; recruitment of highly skilled, well-qualified employees; employer-employee relations; position classification; workers' compensation; maintenance and security of personnel records; development and administration of employee benefit programs; and promulgation of personnel policies.

Organizational Background

The Human Resources Division is responsible for consistent, uniform implementation of personnel policies adopted by the Joint Committee on Judicial Administration. In addition, the Division maintains systems to enhance staff development and employee accountability and to promote effective employee-management relations and provides guidance to management staff with the establishment and maintenance of work environments that promote service to the public, productivity, and professionalism. The Division also serves as the focal point for compliance with Federal and local statutes prohibiting discrimination in employment and promoting equal opportunity for women and members of minority groups who seek employment or participate in court programs. The Human Resources Division is comprised of the Office of the Director and five units.

The Office of the Director undertakes court-wide personnel policy development, interpretation, and implementation. There are four FTEs in this office.

The Office of the Deputy Director is responsible for employment records and documents, including the Human Resources Information Management System, and for position classification. This office has two FTEs.

The Benefits Unit is responsible for the administration of the Federal benefit programs including health, life, and long-term care insurance programs; retirement programs; transportation subsidy program; and Workers' Compensation. This unit also administers the dental and vision insurance program and is the Contract Administrator for the Courts' Health Unit. This unit has four FTEs.

¹ Two FTEs were transferred to the Budget and Finance Division to handle payroll.

The Recruitment Unit is responsible for the development and implementation of programs that enable the Courts to attract and employ highly qualified staff. This Unit has four FTEs.

The Office of Program Analysis administers the Division's Strategic Plan, Student Volunteer and Internship Program, Employee Mediation, Performance Management, and Employee Relations programs. There are four FTEs in this office.

Division MAP Objectives

Several of the Division MAP Objectives follow:

Program Area	Strategic Alignment	Objective
Benefits	3.2.1	Enhance employee satisfaction by conducting comprehensive benefits informational seminars on at least two benefits programs offered by the Courts, e.g. health, life and long term care insurances, FSA, EAP, transit subsidy, college savings plan etc. each fiscal year, beginning October 2004.
Benefits	3.2.1	Enhance employee awareness of retirement options by increasing the frequency of retirement seminars to once a year, starting July 2005.
Classification	3.1.4	Ensure that court positions are classified in a logical, objective and equitable manner by performing position classification reviews for a minimum of 20% of non-judicial positions annually, beginning October 2004.
Employee Relations	3.2.1	Contribute to a positive work environment by ensuring that employees have access to current Personnel Policies, beginning March 1, 2004.
Employee Relations	3.2.1	Contribute to a positive work environment by ensuring that managers and/or employees are trained annually on at least two human resources-related areas (e.g. FLSA, FMLA, Performance Management, ADA, EEO, etc.), beginning February 1, 2004.
Employee Relations	3.1.2	Contribute to the professional development of court personnel, by ensuring that 90% of new hires attend New Employee Orientation within 30 days of start date.
Employee Relations	3.2.2	Contribute to the high satisfaction of court personnel, by increasing annually the number of workplace disputes resolved through Alternative Dispute Resolution by 25%, beginning October 2005.
Employee Relations	3.2.1	Contribute to a positive work environment by ensuring that 33% of existing DC Courts' Comprehensive Personnel Policies are reviewed and updated annually for improvements or consistency with new laws and/or new policies in accordance with Personnel Policy 100 § 105, beginning October 1, 2004.
College Intern Program	1.5	Support effective court operations by developing and administering a diverse Intern program that produces at least 2,500 hours of intern work annually, beginning in FYO4.
Performance Management	3.2/ 3.1.3	Support a work environment that fosters high achievement by ensuring that 80% of non-probationary employees with performance plans in place receive an annual performance evaluation.
Records Management/ Processing	4.2	Utilize technology that supports efficient and effective operations by completing an interface with GSA so that 25% of monthly personnel actions and other HR transactions are processed electronically, beginning July 2005.

Program Area	Strategic Alignment	Objective
Staffing	3.1.1	Promote timely recruiting for job vacancies by preparing applicant panels from established rosters and forwarding 95% of panels for roster positions (courtroom clerk, deputy clerk, court aide/file clerk, bilingual deputy clerk, probation officer, and supervisory probation officer) to requestor within five work days of receipt of Request for Personnel Action by the Human Resources Division, beginning March 1, 2004.
Staffing	1.2.3	Promote diversity of the Courts' workforce by increasing the percentage of Latino applicants to 8% (percent in population), by September 2006.
Staffing	3.1.1	Initiate workforce planning to maintain an applicant pool for "at-risk" positions (where at least 15% of incumbents in a position will leave within 3 to 5 years), beginning February 2005.
Staffing	3.1.1	Initiate planning for a court-wide succession planning program by preparing a report annually on the percentages of court personnel in supervisory or key leadership positions who are retirement-eligible within 3 to 5 years, beginning February 2005.

Human Resources Accomplishments - FY 2005

- **Performance Management.** The Human Resources Division designed and implemented a new performance management system in July 2004 to align individual employee performance with the Courts' strategic goals and objectives; to enhance accountability, responsibility, and job performance; and to make meaningful distinctions between levels of employee performance. This new system reflects best practices in holding the workforce accountable for performance, and includes both incentives and disincentives to encourage optimal performance. In 2005, 90% of the managers were trained in the implementation and procedures of the new Performance Management Evaluation System, with special emphasis on communication and feedback skills.
- **Dental and Vision Program.** The Division enhanced employee benefits by increasing the calendar year maximums in each dental option, adding adult orthodontia to the high option, reducing the premiums in the low and medium plans, and increasing the contact lens and frame allowances.
- **Automated External Defibrillator Program (AED).** The Human Resources Division oversaw the installation of AED equipment and the training of 30 Court employees on life saving techniques and the usage of the automated defibrillator.

Division Work Process Re-design

- **Human Resources Information Management System.** The Division, working in conjunction with the Personnel Data System (PDS) contractor, Information Technology Division and GSA Payroll will finalize an interface with GSA Payroll to electronically process Notification of Personnel Actions beginning July 15, 2005. This will reduce the number of hardcopy documents forwarded to GSA for processing

by approximately 50%. It will accelerate implementation of personnel changes from two weeks to three days.

- **Performance Management.** The Human Resources Division designed and implemented a new performance management system in July 2004 to better align individual performance with the Courts' strategic goals and objectives and to make meaningful distinctions between levels of employee performance. In 2005, 90% of the managers were trained in the new Performance Management Program.
- **Payroll Management.** To enhance the Courts' financial management by aligning the payroll and financial information, two Human Resources Division staff that handle payroll were transferred to the Budget and Finance Division.

Workload Data

During FY 2005, the Human Resources Division projects processing: 9,000 personnel actions; 80 Family Medical Leave Act requests; 6 Americans with Disabilities Act requests; 14 Workers' Compensation claims; 60 recruitment actions; 2400 employment applications; and conducting: 600 individual benefit consultations; 30 group benefit workshops, seminars, fairs, etc., and 30 classification reviews.

Table 1
HUMAN RESOURCES DIVISION
Performance Measurement Table

Type of Indicator	Key Performance Indicator	Data Source	Actual FY 2004	Estimated FY 2005	Projection FY 2006	Projection FY 2007
Output	# of personnel actions processed and forwarded to GSA via hard copy	HRD Request Log and GSA	8357	3750	2000	1000
Output	% of classifications conducted	Classification Activity Log	31%	20%	20%	20%
Output	# of employees attending benefit seminars	Registration and attendance documents	751	800	900	1000
Output	# of employees enrolling in dental/vision benefit program	Enrollment documents	0	150	300	310
Output	# of applicants for Court vacancies	Staffing Logs	1206	1400	1500	1600

FY 2007 Request

The Courts' FY 2007 request for the Human Resources Division is \$2,550,000, an increase of \$928,000 above the FY 2006 Enacted level of \$1,627,000. The increase includes (as discussed in the Initiatives section,) \$300,000 for a court-wide succession

planning initiative and \$500,000 for a courtwide Tuition Assistance Program in addition to \$128,000 in built-in increases.

Table 2
HUMAN RESOURCES DIVISION
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Compensation	1,253,000	1,301,000	1,404,000	103,000
12 - Benefits	301,000	312,000	337,000	25,000
Subtotal Personnel Cost	<i>1,554,000</i>	<i>1,613,000</i>	<i>1,741,000</i>	<i>128,000</i>
21 - Travel, Transp. of Persons	5,000	5,000	5,000	0
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services		0	800,000	800,000
26 - Supplies & Materials	5,000	5,000	5,000	0
31 - Equipment	4,000	4,000	4,000	0
Subtotal Non Personnel Cost	<i>14,000</i>	<i>14,000</i>	<i>814,000</i>	<i>0</i>
TOTAL	1,568,000	1,627,000	2,555,000	928,000
FTE	18	18	18	0

Table 3
HUMAN RESOURCES DIVISION
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	18	59,000	
	Current Positions COLA	18	44,000	
Subtotal				103,000
12 - Benefits	Current Positions WIG	18	14,000	
	Current Positions COLA	18	11,000	
Subtotal				25,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services	Succession Planning		300,000	
	Tuition Assistance		500,000	
Subtotal				800,000
26 - Supplies and Materials				
31 - Equipment				
Total				928,000

Table 4
HUMAN RESOURCES DIVISION
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8	1	1	1
JS-9	5	5	5
JS-10			
JS-11	1	1	1
JS-12	4	4	4
JS-13	3	3	3
JS-14	3	3	3
JS-99			
JS-16			
CES	1	1	1
Ungraded			
Total Salary	1,253,000	1,301,000	1,404,000
Total	18	18	18

DISTRICT OF COLUMBIA COURT SYSTEM INFORMATION TECHNOLOGY DIVISION

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
38	5,414,000	38	5,559,000	44	8,063,000	6	2,504,000

The Information Technology (IT) Division acquires, develops, implements, administers, and secures D.C. Courts' information and technology systems. Its responsibilities are carried out under the direction of a Director's Office by a project office, quality assurance staff, and operations groups that develop applications, administer computer networks, administer legacy mainframe applications, oversee information security, and provide customer service support to end users.

Mission Statement

The mission of the Information Technology Division is to facilitate the fair and efficient administration of justice by providing secure access to accurate, timely, easily accessible information and integrated information systems.

Vision Statement

To achieve its mission, the Information Technology Division has adopted the vision of "a state of the art information technology enterprise architecture and environment that supports and advances D.C. Courts' mission and maximizes efficient use of Court resources."

Introduction

The Information Technology Division delivers information systems services and support to all other Court Divisions. Some of the Division's major services include:

- Designing, developing, implementing, and maintaining information systems to enable case processing for D.C. Courts' divisions.
- Supporting D.C. Courts' jury management, appeals processing, financial management, child support disbursement, and human resources functions through automation of business processes.
- Enabling computer-based data exchange among District of Columbia criminal and juvenile justice agencies.
- Managing court-wide, computer-based office automation and Internet connectivity through a wide-area network.
- Maintaining and supporting mainframe and client/server information systems.
- Identifying new technologies to assist the continuous improvement of the Courts' operations.

- Overseeing implementation of D.C. Courts' Integrated Justice Information System (IJIS).

In its role, the Information Technology Division assists business process improvement through the automation of workflow, knowledge exchange through the use of the Internet, and strategic management through the information technology architecture.

Organizational Background

The Information Technology Division has four primary responsibilities:

- *Case Tracking* involves the framework, hardware, database, and software to store case data and make it available for user inquiry and processing. Core functions supporting this responsibility are (1) design and maintenance of systems; (2) operation and production of hardware systems; and (3) providing user support and assistance.
- *Case Processing* involves the daily tasks associated with court case activity as cases progress to resolution. Events are scheduled, notices and calendars are printed, results or decisions are recorded, and management reports are produced.
- *Office Automation Support* requires the provision of automation tools, hardware and software, networks, servers and gateways, training and assistance for all judicial and non-judicial staff. Core functions are design and maintenance of systems; configuration, installation and maintenance of the Wide Area Network; help desk and training support.
- *Knowledge Exchange* consists of providing automated information tools, such as the Internet and specialized research services; tools for data exchange among justice agencies; and tools to disseminate court information to the community, such as reports, public use terminals, kiosks, and the Internet.

To improve its operational effectiveness, the IT Division is going through a period of transformation, which it launched with the development of an IT strategic plan. In a prior audit, the Government Accountability Office (GAO) cited the need for more disciplined processes to manage the acquisition of IJIS, the Courts' new automated case management system, and, in particular, the need for rigorous, objective quality assurance and risk management practices. D.C. Courts responded to GAO's audit with a commitment (1) to institute better policies, processes, and procedures for managing IT, which are based on the Software Engineering Institute's Capability Maturity Model – Integration (CMMI), and (2) to achieve CMMI "Maturity Level Two" (ML-2) and "Maturity Level Three" (ML-3) certification.

The initiative to institute disciplined, repeatable processes through CMMI began in October 2002, and D.C. Courts have engaged in an intensive training program to support the rollout of new policies, directives, processes, and guidelines for the management of IT.

To institute repeatable, sustainable processes and achieve CMMI ML-2, the D.C. Courts chartered a program – the Information Technology Architecture (ITA) /CMMI initiative – (1) to develop an IT strategic plan; (2) to develop an IT architecture; and (3) to design and begin the implementation of a comprehensive reengineered management blueprint for IT. In addition to the IT strategic plan and IT architecture, the management blueprint encompasses enterprise-level IT management policies, which are applicable court-wide; directives that define minimum standards and controls for how the IT Division puts these policies into operation; and processes, guidelines and standard operating procedures documented in manuals, which further standardize how the IT Division performs its responsibilities. D.C. Courts are well on the way to meeting significant recommendations from GAO.

Most importantly, in FY 03, the D.C. Courts accelerated their transformation from a mainframe-based data processing environment with stove-piped applications to a multi-tier IT architecture and an Integrated Justice Information System (IJIS). D.C. Courts began planning for the acquisition of IJIS in 1998 and in 2000 defined functional requirements for a COTS system with the assistance of the National Center for State Courts (NCSC). In 2001, another contractor updated these requirements, and assisted with the selection of a COTS product and a systems integrator to implement the product. Implementation began in December 2002 with the Family Court, with other divisions to follow. The Family Court went live on IJIS in late fiscal year 2003 and fiscal year 2004 in waves. During fiscal year 2004 the Probate Division went live and in fiscal year 2005 the Civil Division was converted to IJIS. The conversion of the final division, the Criminal Division, is scheduled to occur in fiscal year 2005. The independent verification and validation (IV&V) of the IJIS implementation by a third party commenced in fiscal year 2005.

Governing these complex initiatives to integrate the D.C. Courts' case management systems and improve the IT Division's performance is a newly developed management control framework with senior management participation through an IT Steering Committee and technical management through an IT Change Control Board. Within the IJIS program, a Management Implementation Team (MIT) made up of managers from Superior Court divisions meets weekly as a program management advisor to oversee the implementation and make user decisions about key issues such as functional requirements, customizations, and user acceptance testing protocols. Similarly, an Integrated Project Team (IPT) consisting of IT Division managers and specialists has worked collaboratively to develop new IT management directives, processes, and the IT architecture. An IT Steering Committee, which D.C. Courts established in February 2003, oversees these program- and project-level organizational efforts. All groups operate according to policies set by the IT Steering Committee. The GAO team overseeing our project has said that our IJIS implementation has been exemplary, and can be used as a model for other government agencies.

A lot has changed within the IT Division and for technology at the D.C. Courts. The IJIS conversion is one of the largest single system installations among all American courts. These changes affect people, processes and technology, which is to be expected given the

business transformation that is underway and fueled by IJIS. The hard work of stakeholders, a focus on the vision, and efforts to align IT with the Courts' overall strategic plan enable discipline, sustainable management control, and a focus on achieving critical outcomes.

Division MAP Objectives

In fiscal year 2004, the IT Division defined and began projects to achieve a set of MAP objectives. Objectives that will carry forward into fiscal year 2007 are as follows:

- Enhance and support the Integrated Justice Information System (IJIS) (which includes implementing customizations and improvements on continuing basis).
- Migrate servers to the next-generating computing architecture to improve performance, manageability, and security.
- Standardize the replenishment cycle for personal computers, operating systems, and personal productivity tools to optimize cost and performance.
- Replace outdated network infrastructure and relocate the data center as part of the facilities master plan for implementing the Family Court.
- Implement repeatable processes to manage the Court's IT assets.

In fiscal year 2007, the IT Division anticipates adopting three new MAP objectives. The IT Division will provide program leadership for the Courts' efforts to improve operational efficiency through business integration of IJIS. Related to this, the IT Division will undertake an initiative to improve the quality of data in IJIS. Finally, the IT Division will enhance the Courts' web site and web kiosks in a way that extends public access to the Courts.

Work Process Redesign

As with the rest of the D.C. Courts, the IT Division is undergoing a period of transformation. Over the past few years, the D.C. Courts have developed plans to reengineer their operations to take advantage of IJIS, to offer better services to the public, and to support greater efficiency and enhance effectiveness. The IT Division faces unique challenges in this context because of demands to introduce new technology, to improve service quality, to reduce unplanned downtime, and to manage the IJIS implementation.

To maximize the use of staff time and expertise, as well as to improve overall service to D.C. Courts, the IT Division is reorganizing its personnel. The reorganization is taking place as part of the ITA/CMMI program, which has produced an IT architecture; an IT governance framework; and an implementation plan to institute disciplined repeatable processes and achieve a state of voluntary compliance with the Clinger/Cohen Act and OMB Circular A-130, and other relevant regulations, guidance, and GAO recommendations.

Operating funds will support implementation of the Division's goals, as defined in the IT strategic plan, which are to:

- Enable our judicial stakeholders to carry out their mission with an integrated justice information system;
- Equip our leaders with the tools they need to manage D.C. Courts' business;
- Invest in reliable, secure and cost-effective IT infrastructure;
- Build IT management capabilities that will create and sustain return on investment;
- Develop our people, so they become sophisticated users of information; and
- Protect the integrity, availability, and confidentiality of our critical information assets.

Requested operating funds will support several mission-critical activities, including maintenance of information systems, furtherance of the D.C. Courts' IT architecture, and support of the Family Court through administration of IJIS in a production environment.

Performance Indicators

Table 1, IT Metrics, contains the detailed information on performance measurements that have been developed to support the accomplishment of courtwide strategic goals and objectives. Table 2, which follows, shows the Division's "readiness" to meet the strategic goals.

Table 1: IT Metrics

Strategy 1.2.4: Ensure that jury pools reflect the diversity of the DC community and that jury service is a positive experience.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of defined improvements addressed	80%	20%	20%			20%	5 improvements have been defined, 1 has been completed, 3 are in progress, and the 5 th will begin in Q4.
Percentage of outside agencies data submissions updated in the jury wheel within one week of receipt	95%	0	100%			100%	
Percentage of Juror system requirements completed by October 2005	100%	0	0			0	
Percentage of Juror summons creation jobs where the juror summons were created 45 days prior to summons date when request was received punctually	95%	50%	87%			92%	
<i>Total Composite Index:</i>		18%	54%			53%	
Strategy 1.3.2: Develop and implement an integrated case management system that maintains comprehensive case information.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Number of Superior Court Users brought online (CourtView Users)	1000	400	150			94%	The total number of CourtView users at of end of Q2 was 943.
Number of civil case types processed through e-filing	5	0	0			0%	
Percentage of Superior Court components live on IJIS that are able to use IJIS to report on case management performance	75%	50%	65%			87%	
Number of legacy systems replaced	15	10	0			67%	The definition of replaced is

							vague
Average response time for IJIS (CourtView) in seconds for up to 1000 concurrent users	3	N/A	3			100%	
Percent of users satisfied with IT performance	75%	92%	94%			100%	Customer satisfaction is currently measured through FootPrints by respondents to the helpdesk survey.
<i>Total Composite Index:</i>		54%	50%			63%	
Strategy 2.2.3: Enhance the availability of automated court information and data to the public through Internet technologies.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Number of Divisions managing their own Internet content	3	0	0			0%	
Number of foreign languages available on the Internet	3	3	3			100%	
<i>Total Composite Index:</i>		50%	50%			50%	
Strategy 3.1.1: Recruit personnel who possess the education, skills, and experience to provide effective services.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of staff who have completed rational training	90%	0%	42%			47%	
Percentage of staff who have completed skill set assessments	80%	22%	36%			45%	
Percentage of staff with individualized training plans developed	80%	22%	40%			50%	
Percent attendance rate for training classes	90%	83%	90%			100%	
<i>Total Composite Index:</i>		37%	61%			61%	
Strategy: 4.2.1: Implement a governance process to ensure cost-effective and strategically aligned investments in technology.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Completed external CMMI appraisal	100%	0%	0%			0%	Appraisal to begin in Q3
Percentage of functional and customizable requirements that are documented	100%	100%	100%			100%	
Percentage of high-level risks that have been identified and mitigated	100%	100%	100%			100%	
Communication of weekly management reports for each wave/phase and monthly performance scorecards for the IJIS implementation	100%	100%	100%			100%	
Achievement of CMMI Level Two Certification	100%	0%	0%			0%	
<i>Total Composite Index:</i>		60%	60%			60%	
Strategy 4.2.3: Invest in an information system that allows for integrated data-sharing across divisions, Courts, relevant government entities, and those conducting business with the Courts.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of risk assessments completed for all aspects of IJIS in production at the time IV&V begins and then thereafter in concert with implementation	75%	0%	0%			0%	
Percentage complete of functional and non-functional requirements traceability for CourtView as measured by IV&V reviews	85%	0%	0%			0%	
Percentage of defects identified and mitigated before migration of selected phases to production	70%	0%	0%			0%	
Percentage complete of IV&V testing of high criticality IJIS system elements	80%	0%	0%			0%	
Percentage of corrective actions from IV&V findings which are deemed critical to the functional and/or technical quality of IJIS that are implemented	50%	0%	0%			0%	
Average response time for CourtView in seconds for up to 1000 concurrent users	3	N/A	3			100%	
Availability of critical applications and services during scheduled hours	99.99%	99.48%	99.24%			99%	Data was based off of Solarwinds Orion report writer, data as of 4/29/05.

Implementation of gigabit per second fiber connection for the Courts' WAN	100%	100%	100%			100%	
Percentage of critical network and infrastructure devices that are redundant	100%	100%	100%			100%	
Percentage of Court users with access to web mail and schedule contacts	100%	10%	10%			10%	
Percentage of end user workstations running Windows 2000	95%	85%	93%			98%	
Percentage of end user workstations running Windows XP	10%	1%	3%			30%	
Percentage of end user workstations over three years old that have been upgraded	94%	47%	65%			69%	
Percentage of end users satisfied with workstation environment	75%	75%	80%			100%	
Percentage of the server upgrade project completed on-time and on budget	100%	0%	50%			50%	
Selected archival and production Court-data migrated to the SAN	70%	5%	20%			29%	
<i>Total Composite Index:</i>		38%	49%			49%	
Strategy 4.2.4: Establish consistent policies and practices for addressing access to court records that maintain the proper balance between public access, personal privacy, and public safety.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of SOP's that have been automated	100%	90%	90%			90%	
Percentage of mission critical databases in Oracle 9i	100%	75%	75%			75%	
Percentage of mission critical data stored on the SAN	90%	83%	83%			92%	
<i>Total Composite Index:</i>		86%	86%			86%	
Strategy 4.2.5: Utilize project management, change management, systems lifecycle and risk management disciplines for information technology projects.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
End-user satisfaction percentage for IT customer service	78%	92%	94%			100%	
Percentage of ticket management activities that are automated	100%	100 %	100%			100%	
Percentage of computer hardware, software, and software licenses covered under asset management	45%	45%	55%			100%	
Percentage of customer service requests that were fulfilled within service level target	85%	N/A	N/A			N/A	A report to generate this data from FootPrints is currently under development. Therefore this metric was not factored into the final data for Q1 or Q2.
Number of hits on the Internet FAQ web page	500	15	50			13%	
Percentage of production support requests documented and status relayed to users on a weekly basis	80%	92%	83%			100%	
Percentage of production tasks/projects that follow the documented processes	80%	67%	92%			100%	
Percentage of non-emergency scheduled production application updates that were approved by the CCB	100%	100 %	100%			100%	
<i>Total Composite Index:</i>		84%	88%			88%	
Strategy 4.3.1: Establish policies and programs for safeguarding the integrity of court information.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of the infrastructure protected by IDS	90%	100%	100%			100%	
Percentage of infrastructure protected by email firewall and spam filter	100%	100%	100%			100%	
Percentage of security monitoring software integrated with Footprints	100%	0%	50%			50%	

Percentage of end-user systems and servers protected by security management software	100%	33%	66%			66%	
Number of security controls implemented	20	5	5			50%	
Percentage of sites blocked for inappropriate web use and abuse	90%	0%	100%			100%	
Number of iterations of testing and reports on IJIS/Infrastructure Security	2	0	0			0%	
Percentage of policy and directive-based standards for managing IT security approved	100%	33%	66%			66%	
Number of staff who have completed compliance training for policies and directives regarding IT management and practices	24	0	0			0%	
Percentage of internal and external users complying with directives	33%	10%	10%			30%	
Percentage of IT Division personnel trained on internal control standards and expectations	100%	0%	0%			0%	
<i>Total Composite Index:</i>		29%	51%			51%	
Strategy 4.3.2: Develop procedures for protecting the vital electronic and paper records of the Courts against degradation, destruction, and loss.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of Court employees who have signed the acceptable use agreement	98%	100 %	100%			100%	
Percentage of mission-critical information systems that have documented disaster recovery plans	100%	70%	70%			70%	
Percentage of mission-critical information systems which undergo annual testing of disaster recovery plans	100%	70%	70%			70%	
<i>Total Composite Index:</i>		80%	80%			80%	
Strategy 4.3.4: Establish plans to ensure the continuity and resumption of business operations after a catastrophic event.							
Performance Metric	Target Goal	Q1	Q2	Q3	Q4	% Complete	Notes
Percentage of Court employees who have signed the acceptable use agreement	98%	100 %	100%			100%	
Percentage of mission-critical information systems that have documented disaster recovery plans	100%	70%	70%			70%	
Percentage of mission-critical information systems which undergo annual testing of disaster recovery plans	100%	70%	70%			70%	
<i>Total Composite Index:</i>		80%	80%			80%	

Table 2: IT Division Readiness

Key: Progress: Light gray = 1st Quarter (FY 2004)
Dark gray = 2nd Quarter

Rating: Green Light = On target
Yellow Light = Slightly behind target
Red Light = Behind target

Goal and Strategy to Complete the Goal	Progress	Rating
<p>Goal 1.2: The Courts will administer justice fairly and impartially without regard to race, ethnicity, gender, sexual orientation, economic status, or mental or physical disability.</p> <p>Strategy 1.2.4: Ensure that jury pools reflect the diversity of the DC community and that jury service is a positive experience.</p>		
<p>Goal 1.3: The Courts will ensure informed judicial decision-making</p> <p>Strategy 1.3.2: Develop and implement an integrated case management system that maintains comprehensive case information.</p>		
<p>Goal 2.2: The Courts will provide the public with information that is easily understandable and readily available.</p> <p>Strategy 2.2.3: Enhance the availability of automated court information and data to the public through Internet technologies.</p>		
<p>Goal 3.1: The Courts will employ a highly skilled and well-trained workforce.</p> <p>Strategy 3.1.1: Recruit personnel who possess the education, skills, and experience to provide effective services.</p>		
<p>Goal 4.2: The Courts will provide technology that supports efficient and effective case processing, court management, and judicial decision-making.</p> <p>Strategy: 4.2.1: Implement a governance process to ensure cost-effective and strategically aligned investments in technology.</p> <p>Strategy 4.2.3: Invest in an information system that allows for integrated data-sharing across divisions, Courts, relevant government entities, and those conducting business with the Courts.</p> <p>Strategy 4.2.4: Establish consistent policies and practices for addressing access to court records that maintain the proper balance between public access, personal privacy, and public safety.</p> <p>Strategy 4.2.5: Utilize project management, change management, systems lifecycle and risk management disciplines for information technology projects.</p>		
<p>Goal 4.3 The Courts will protect people, processes, technology, and facilities to ensure continuity of operations in the event of an emergency of disaster.</p> <p>Strategy 4.3.1: Establish policies and programs for safeguarding the integrity of court information.</p> <p>Strategy 4.3.2: Develop procedures for protecting the vital electronic and paper records of the Courts against degradation, destruction, and loss.</p> <p>Strategy 4.3.4: Establish plans to ensure the continuity and resumption of business operations after a catastrophic event.</p>		

FY 2007 Request

The D.C. Courts' FY 2007 request for the Information Technology Division is \$8,063,000, an increase of \$2,504,000 (45%) above the FY 2006 Enacted level. The requested increase includes \$233,000 for built-in increases. It also includes \$2,308,000 for six FTEs, professional services, and equipment to support ongoing operation of IJIS, as discussed in the Initiatives section of this request.

Table 3
INFORMATION TECHNOLOGY DIVISION
New Positions Requested

Position	Grade	Number	Annual Salary	Benefits	Total Personnel Costs
Information Security Program Manager	JS-14	1	94,000	23,000	117,000
Quality Assurance Manager	JS-14	1	94,000	23,000	117,000
Data Quality Manager	JS-14	1	94,000	23,000	117,000
Quality Assurance Analyst	JS-13	1	79,000	19,000	98,000
Data Quality Control Analyst	JS-11	1	72,000	18,000	90,000
Business Systems Analyst	JS-11	1	72,000	18,000	90,000
Total		6	505,000	124,000	629,000

Table 4
INFORMATION TECHNOLOGY DIVISION
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Compensation	3,015,000	3,104,000	3,731,000	627,000
12 - Benefits	724,000	745,000	902,000	157,000
Sub-total Personnel Cost	3,739,000	3,849,000	4,633,000	784,000
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	327,000	332,000	339,000	7,000
24 - Printing & Reproduction				
25 - Other Services	1,297,000	1,326,000	3,037,000	1,711,000
26 - Supplies & Materials	43,000	44,000	45,000	1,000
31 - Equipment	8,000	8,000	9,000	1,000
Sub-total Non Personnel Cost	1,675,000	1,710,000	3,430,000	1,720,000
TOTAL	5,414,000	5,559,000	8,063,000	2,504,000
FTE	38	38	44	6

Table 5
INFORMATION TECHNOLOGY DIVISION
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	38	15,000	
	Current Positions COLA	38	107,000	
	6 new positions (IT Initiative)	6	505,000	
Subtotal				627,000
12 - Benefits	Current Positions WIG	38	4,000	
	Current Positions COLA	38	29,000	
	6 new positions (IT Initiative)	6	124,000	
Subtotal				157,000
21 - Travel and Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities	Built-in Increase			7,000
24 - Printing & Reproduction				
25 - Other Services	Built-in Increase		32,000	
	IT Initiative		1,679,000	
Subtotal				1,711,000
26 - Supplies and Materials	Built-in Increase			1,000
31 - Equipment	Built-in Increase			1,000
Total				2,504,000

Table 6
INFORMATION TECHNOLOGY DIVISION
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	1
JS-8			
JS-9	4	4	4
JS-10	1	1	1
JS-11	1	1	3
JS-12	5	5	5
JS-13	19	19	20
JS-14	6	6	9
JS-15			
CES	1	1	1
Ungraded			
Total Salary	3,015,000	3,104,000	3,731,000
Total	38	38	44

**DISTRICT OF COLUMBIA COURT SYSTEM
OFFICE OF THE GENERAL COUNSEL**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
4	468,000	4	486,000	4	512,000	0	26,000

Mission and Organizational Background

The Office of the General Counsel performs a broad spectrum of advisory legal functions, including: analysis of pending legislation, drafting proposed legislation, contract review, legal research, and policy interpretation. The Office is charged with protecting the statutorily confidential records of the D.C. Courts from improper and unnecessary disclosure. On personnel matters, the Office provides advice and also represents management in administrative hearings. Staff serves as legal advisor to the Superior Court's Rules Committee, various Division advisory committees, and the Board of Judges on all matters concerning revision of the Superior Court's rules. Office employees serve, as assigned by the management of the D.C. Courts, on a number of other committees in a legal advisory capacity. In addition, the Office assists trial counsel (the Office of the Attorney General for the District of Columbia) in the preparation of materials and advice on legal proceedings involving the Courts or matters in which the Courts have an interest. The ability to meet the changing needs of the Courts for legal advice and related services is the top expectation of the Division's principal stakeholders (management of the Courts) and as such is the most important priority of the Office.

Objectives

The Office's objectives are (1) the provision of timely and accurate legal advice, (2) the provision of legal and administrative support for the drafting, approval, and promulgation of the rules of the Superior Court and their prompt dissemination to the Bar and the general public, (3) the provision of responsive legal advice and counseling to managers on employee disciplinary actions, unemployment compensation proceedings, and equal employment opportunity cases and representation of management in hearings related to such matters, and (4) the provision of responsive legal advice and assistance to Court managers and employees in cases where such personnel are subpoenaed to testify or provide documentation as to Court-related matters. Performance indicators consist of the provision of timely and accurate oral and written legal advice and related services.

The Office's timely and accurate provision of legal advice and related services accomplish the Courts' goal of promoting trust and confidence in the judicial system by insuring that: (a) court rules and procedures are promptly inaugurated or amended, (b) proposed legislation and court policy are drafted, (c) court management receives effective representation in administrative hearings involving employee discipline, (d) the Courts'

interests are protected in contractual agreements, (e) statutory confidentiality of court records and proceedings is preserved, (f) employment and pay issues involving legal questions are fairly and swiftly resolved (g) limited funds available to compensate investigators for indigent criminal defendants are protected from fraudulent claims and (h) liaison contacts are established and maintained with the office of the Attorney General of the District of Columbia on legal matters affecting the administration of the D.C. Courts.

FY 2007 Request

In FY 2007, the Courts request \$512,000 for the Office of the General Counsel, an increase of \$26,000 (5%) above the FY 2006 Enacted level. The increased budget request entirely consists of in built-in increases.

Table 1
OFFICE OF THE GENERAL COUNSEL
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Compensation	374,000	389,000	408,000	19,000
12 - Benefits	90,000	93,000	98,000	5,000
Sub-total Personnel Cost	<i>464,000</i>	<i>482,000</i>	<i>506,000</i>	<i>24,000</i>
21 - Travel, Transp. of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	3,000	3,000	5,000	2,000
31 - Equipment	1,000	1,000	1,000	0
Sub-total Non Personnel Cost	<i>4,000</i>	<i>4,000</i>	<i>6,000</i>	<i>2,000</i>
TOTAL	468,000	486,000	512,000	26,000
FTE	4	4	4	0

Table 2
OFFICE OF THE GENERAL COUNSEL
Detail, Difference FY 2006 to FY 2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	4	5,000	
	Current Positions COLA	4	14,000	
Subtotal				19,000
12 - Benefits	Current Positions WIG	4	1,000	
	Current Positions COLA	4	4,000	
Subtotal				5,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials	Built-in			2,000
31 - Equipment				
Total				26,000

Table 3
OFFICE OF THE GENERAL COUNSEL
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7			
JS-8			
JS-9			
JS-10	1	1	1
JS-11			
JS-12			
JS-13			
JS-14			
JS-15	2	2	2
JS-16			
JS-17			
CES	1	1	1
Ungraded			
Total Salary	374,000	389,000	408,000
Total	4	4	4

DISTRICT OF COLUMBIA COURT SYSTEM RESEARCH AND DEVELOPMENT DIVISION

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
9	891,000	9	917,000	9	951,000	0	34,000

Mission Statement

The mission of the Research and Development Division (R&D) is to enhance the fair and efficient administration of justice in the nation's capital by securing grant resources to support new court initiatives; conducting program evaluations, best practice research and survey analysis; and disseminating accurate and timely caseload and other court information to judicial officers, court managers and the public.

Introduction

The Research and Development Division conducts social science research, policy and management studies on court operations and administrative functions; performs grant seeking activities and monitors grants in progress; conducts program evaluations and performance assessments; administers surveys of court participants and staff; monitors emerging issues in court administration and criminal justice and advises judicial officers and other court officials; maintains and reports official court statistics in the D.C. Courts' Annual Report and other periodic reports; and provides technical assistance to judges and court administrators, including the design of new programs and services and oversight of pilot implementation.

Organizational Background

R&D is comprised of a *Director's Office*, which undertakes courtwide policy development initiatives and special project management (e.g., oversight of independent program evaluations of court divisions and functions); a *resource development function*, responsible for grant seeking and monitoring activities; a *statistical function*, which compiles, analyzes and disseminates courtwide caseload statistics, including the statutorily-required Annual Report, and monitors caseload trends and assists in IJIS implementation, report development and verification; a *research and program evaluation function*, which provides technical support for court programs, such as Family Court, Community Court and the Courts' Strategic Planning Leadership Council (SPLC), by conducting best practice research, analyzing satisfaction surveys, assessing court performance and developing briefing papers on topics of interest to court officials; a *court information function*, which reports on court-related activities reported in daily newspapers, court administration and research publications and other sources, and includes a *Research and Development Resource Library* of over 3,000 electronically

searchable holdings on court administration, criminal justice and resource development for use by judicial officers and court staff.

Division's MAP Objectives

The Division has adopted three broad objectives, which align with the D.C. Courts' Strategic Goals and are incorporated in the Division's Strategic Plan (i.e., Management Action Plan, or MAP). These objectives, which guide the Division's programmatic and capacity-building activities, are:

- Enhance the administration of justice by identifying and pursuing grant funding opportunities; providing accurate, timely and complete information to judges, court managers and the public; recommending best practices for Court program development; designing new programs and overseeing their development during pilot phases.
- Improve access to justice and service to the public by providing information, including the D.C. Courts' Annual Report, that is easily understandable and readily available.
- Build trust and confidence by conducting program evaluations, courtwide participant surveys and performance reviews to measure organizational performance and monitor results; and design and implement pilot programs and services to address community needs.

Workload and Performance Measures

Since FY 2000, R&D has been developing its performance measurement system to monitor activities in the Division's eight principal MAP functional areas of: 1) Resource development; 2) Program evaluation and performance monitoring; 3) Best practices and other research studies; 4) Program design and pilot implementation; 5) Data analysis, trend monitoring and reporting; 6) Annual Report production; 7) Court information dissemination and 8) Special project management. Preliminary indicators were developed to guide resource allocation and the development of the Division's budget request with an emphasis on meeting the demand for information on court caseload activity, grant proposal development and technical assistance to address court priorities such as Family Court reform and IJIS development.

Over the past several fiscal years, the Division's support of Family Court continued to increase as the Division was principally responsible for collecting, compiling, analyzing, and reporting on abuse and neglect hearing activities and their outcomes, including permanency goals and barriers to permanency. Also, R&D continued to support the implementation of the Family Treatment Court by serving on its Interagency Implementation Committee, seeking grant resources, developing and maintaining an automated database of information on caseload activity and client progress, and reporting to the Family Court periodically on FTC caseload activities and client outcomes. As a

result of the Division's work in support of the day-to-day operations of the Family Treatment Court, the Division also is designing a full, independent program evaluation of the FTC and aftercare. The evaluation, to begin in FY 2005, is expected to follow the progress of program participants who have graduated, resumed employment and care for their children and have completed aftercare treatment.

IJIS support, begun in FY 2003, continued during FY 2004 and FY 2005 and consists of the assessment of system customization needs across the Courts' user divisions and verification activities associated with the development of IJIS-produced caseload reports. Also, the Division will identify IJIS statistical reports and measures that align with the courtwide performance measures and develop new statistical reports.

As part of the Courts' performance monitoring, the Division is also managing two independent evaluations of court functions: the Multi-Door Dispute Resolution Program and the Social Services Division. These are expected to continue through the end of FY 2005. Additionally, in FY 2005, the Division's work in the area of survey design and analysis increased as a result of the adoption of MAPs in each division of the Court. The Division began to assist the Courts' operating divisions and the Strategic Planning Leadership Council in monitoring court participant satisfaction by designing, administering and analyzing courtwide surveys as required by the divisions' MAPs.

Policy and program development activities of the Division also increased in FY 2005 as modifications were contemplated for the Juvenile Drug Court and the Family Treatment Court, and the D.C. Court of Appeals began to investigate the development of an Appellate Mediation Program.

Reflected in the performance measures noted in Table 1 below are recent shifts in demand on the Division for more complex technical services in program design, project implementation and performance monitoring. Fulfilling these requests often necessitates longer processing time to address them to completion and continuous resource reallocation and workload shifts within the Division in order to make available those staff with sufficient and appropriate skill and experience to meet the demand. The performance measures provided in Table 1 align with the Division's MAP for FY 2004-2007 as well as the Courts' Strategic Plan.

Table 1
RESEARCH AND DEVELOPMENT DIVISION
Performance Measurement Table

Type of Indicator	Performance Indicator	Data Source	Actual FY 2004	Estimated FY 2005	Projection FY 2006	Projection FY 2007
Output	# of best practice research / briefing papers in support of new court initiatives	Division/Court records	3	3	4	5
Output	# of responses to requests for court caseload/other data	R&D Request for Information Log	80	50	60	70
Output	# of performance reports (including satisfaction surveys) /program evaluations/Optionfinder analyses completed	Division records	5	13	17	20
Output	# of grant documents submitted (new/continuing)	Division/Court records	17	22	22	24
Output	# of special projects developed / managed	Division/Court records	4	6	4	4

Division Work Process Re-design

Since the last quarter of FY 2000, as part of the Courts' effort to redesign current business processes, the Research and Development Division identified major business processes related to its core functions and further defined steps to use the Division's resources more efficiently and enhance service delivery. These have continued through FY 2005 and include: 1) Modifying the Division's "Request for Information Form" to better track requests for information by the public; 2) Streamlining the statistical report production process by eliminating redundant narrative and review, instituting new quality assurance tests and revising reporting formats; 3) Convening meetings with directors of grant-funded projects to assess compliance with spending plans and reporting requirements and to develop strategies to utilize grant funds timely and efficiently; 4) Conducting "lessons learned" meetings following the completion of Division projects in order to improve existing business processes; 5) Initiating a weekly "Operations Roundtable" among the full staff within the Division to address potential problems and issues encountered by staff in completing work requests/projects and to brainstorm solutions; 6) Utilizing web-based survey questionnaire software to facilitate the administration and initial tabulation of court participant surveys; 7) Converting the production and dissemination of court information (including daily news clippings) from hard copy to electronic format; and 8) Supporting staff training to enhance technical skill levels and/or to "re-tool" staff with the skills needed to address the Division's changing workload.

The benefits of these changes, along with the shift in the Division's workload from answering short term information requests to longer term, more technically complex tasks

such as survey analysis, program design and management, performance monitoring and grant writing, is noted in the performance shifts reported in Table 1. Specifically, from FY 2004 to FY 2005, the Division has experienced a 160% increase in requests for performance reporting, a 30% increase in grant activity, and a 50% increase in special project management compared to a 35% decline in answering simple information requests. Some of the decline in the latter category is an effect of the improved availability of caseload information in the Courts' operating divisions due to the IJIS implementation. The increased demand for the Division to provide special project management is an outcome of the adoption of recommendations included in the division's best practices research during FY 2003 and early 2004, as many of the recommendations included in the Division's briefing papers have resulted in the implementation of pilot projects during FY 2005. The increase in longer-term research studies in R&D is related to the adoption of strategic planning throughout the Courts and the need for participant (i.e., customer service) survey analysis and process re-design research to support strategic planning in the divisions. Increases in grant activity appear to be an outcome of targeted and more aggressive grant seeking, grant monitoring and administration activities adopted by R&D as well as the increasing need to provide support to new initiatives in court operations.

FY 2007 Request

In FY 2007, the Courts' request \$951,000 for the Research and Development Division, an increase of \$34,000 (4%) above the FY 2006 Enacted level. The increase consists entirely of build-in increases.

Table 2
RESEARCH AND DEVELOPMENT DIVISION
Budget Authority by Object Class

	FY 2005 Enacted	FY 2006 Enacted	FY 2007 Request	Difference FY 2006/2007
11 - Compensation	716,000	737,000	764,000	27,000
12 - Benefits	172,000	177,000	184,000	7,000
Sub-total Personnel Cost	<i>888,000</i>	<i>914,000</i>	<i>948,000</i>	<i>34,000</i>
21 - Travel, Transp. Of Persons				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies & Materials	1,000	1,000	1,000	0
31 - Equipment	2,000	2,000	2,000	0
Sub-total Non Personnel Cost	<i>3,000</i>	<i>3,000</i>	<i>3,000</i>	<i>0</i>
TOTAL	891,000	917,000	951,000	34,000
FTE	9	9	9	0

Table 3
RESEARCH AND DEVELOPMENT DIVISION
Detail, Difference FY 2006/2007

Object Class	Description of Request	FTE	Cost	Difference FY 2006/2007
11 - Compensation	Current Positions WIG	9	2,000	
	COLA, Reclassification & Turnover	9	25,000	
Subtotal				27,000
12 - Benefits	Current Positions WIG	9	1,000	
	COLA, Reclassification & Turnover	9	6,000	
Subtotal				7,000
21 - Travel and Transportation				
22 - Transportation of Things				
23 - Rent, Commun. & Utilities				
24 - Printing & Reproduction				
25 - Other Services				
26 - Supplies and Materials				
31 - Equipment				
Total				34,000

Table 4
RESEARCH AND DEVELOPMENT DIVISION
Detail of Full-Time Equivalent Employment

	2005 Actual	2006 Enacted	2007 Request
JS-3			
JS-4			
JS-5			
JS-6			
JS-7	1	1	
JS-8			1
JS-9	1	1	
JS-10			1
JS-11	1	1	1
JS-12	1	1	
JS-13	1	1	3
JS-14	3	3	2
JS-15			
CES	1	1	1
Ungraded			
JS Salary	716,000	737,000	764,000
Total	9	9	9

**DISTRICT OF COLUMBIA COURT SYSTEM
MANAGEMENT ACCOUNT**

<u>FY 2005 Enacted</u>		<u>FY 2006 Enacted</u>		<u>FY 2007 Request</u>		<u>Difference FY 2006/2007</u>	
<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>	<u>FTE</u>	<u>Obligations</u>
-	12,191,000	-	12,089,000	-	18,617,000	-	6,528,000

This fund supports courtwide contracts, services, and systems, including: accounting, payroll, and financial services through GSA; procurement and contract services; safety and health services; maintenance and operation of the Courts' four buildings. The Courts' management account also provides general administrative support in the following areas: space and telecommunications, property and supplies, printing and reproduction, energy management, mail payments to the U.S. Postal Service, utilities, and security services provided by the U.S. Marshals Court Security Officers.

FY 2007 Request

In FY 2007, the Courts request \$18,617,000 for the Management Account, an increase of \$6,528,000 above the FY 2006 Enacted level. The request includes an increase of \$6,240,000 to enhance public security, described in the Initiatives section of this request, and \$171,000 for built-in cost increases.

Table 1
MANAGEMENT ACCOUNT
Budget Authority by Object Class

	2005 Enacted	2006 Enacted	2007 Request	Difference FY 2006/2007
11 - Compensation	128,000	131,000	135,000	4,000
12 - Benefits	143,000	147,000	152,000	5,000
Subtotal Personnel Cost	271,000	278,000	287,000	9,000
21 - Travel, Transp. of Persons	62,000	62,000	63,000	1,000
22 - Transportation of Things	1,000	1,000	1,000	0
23 - Rent, Commun. & Utilities	6,298,000	6,125,000	6,272,000	147,000
24 - Printing & Reproduction	66,000	67,000	69,000	2,000
25 - Other Services	5,024,000	5,080,000	11,437,000	6,357,000
26 - Supplies & Materials	278,000	282,000	289,000	7,000
31 - Equipment	191,000	194,000	199,000	5,000
Subtotal Non Personnel Cost	11,920,000	11,811,000	18,330,000	6,519,000
TOTAL	12,191,000	12,089,000	18,617,000	6,528,000
FTE	-	-	-	-

Table 2
MANAGEMENT ACCOUNT
Detail, Difference FY 2006 to FY 2007

Object Class	Description of Request	Cost	Difference FY2006/FY2007
11 - Compensation	Built-in Increase		4,000
12 - Benefits	Built-in Increase		5,000
21 - Travel and Transportation	Built-in Increase		1,000
22 - Transportation of Things			
23 - Rent, Commun. & Utilities	Built-in Increase		147,000
24 - Printing & Reproduction	Built-in Increase		2,000
25 - Other Services	Built-in Increase	117,000	
	Security Initiative	6,240,000	
Subtotal			6,357,000
26 - Supplies and Materials	Built-in Increase		7,000
31 - Equipment	Built-in Increase		5,000
Total			6,528,000